

# Courtiers en douane

Ce document illustre l'incidence de la GCRA sur le processus d'importation commerciale pour les courtiers en douane.

Renseignements clés sur la GCRA

ÉBAUCHE



## Niveau de transformation

Clyde Martinez

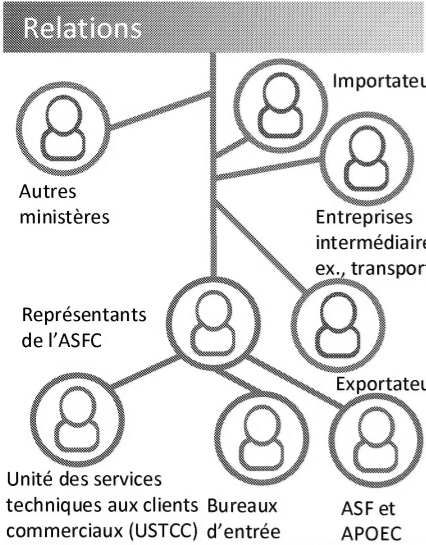


**Description**

Autorisés par l'ASFC, les courtiers en douane aident les clients à dédouaner leurs expéditions à la frontière, assurant ainsi la conformité et un mouvement continu des marchandises. Les courtiers gèrent toutes les données commerciales clés (p. ex. la classification du SH) et agissent au nom des clients pour traiter avec l'ASFC. Ils peuvent être représentés par des associations comme la Société canadienne des courtiers en douane (SCCD) et la International Federation of Customs Brokers Associations (IFCBA), ou ils peuvent être indépendants.

**Citation**

« Les courtiers en douane seront en mesure de servir leurs clients avec une meilleure intégrité des données et une visibilité accrue dans le processus d'importation commerciale. »



**Espace de travail**

**Outils/systèmes actuels utilisés**

- EDI
- Portail du manifeste électronique
- Sites Web de l'ASFC et d'autres ministères
- Formulaires B2/B3
- Mémoires D
- Avis des douanes
- RC et avis quotidiens
- Rapports du SGER

**Fonctionnalités du Portail des clients du secteur commercial de l'ASFC**

Fonctions du Portail

- Déclarations numériques avec modifications/rajustements en bloc
- Gérer les décisions, les appels et les vérifications
- Inscription et adhésion aux programmes
- Relevé de compte et paiement électronique

Nouvelles capacités EDI

- Modifications/rajustements en bloc

**Gérer l'affichage des comptes clients\***

Client 1

Client 2

Client 3

Client 4

> Vue consolidée des comptes clients que le courtier a délégué le pouvoir de gérer

**Principales activités de la GCRA**

- ☒ Webinaires sur la GCRA
- ☒ Réunions des associations professionnelles
- ☒ Ateliers d'essai
- ☒ Séances à micros ouverts pour les PCC
- ☒ Communication de la GCRA (site Web, infographie, médias sociaux)

**Une journée dans la vie**

⚡ 9 h – Au début de la journée, Clyde travaille avec un nouveau client et passe beaucoup de temps à envoyer des documents à ce dernier et à l'ASFC pour obtenir le privilège d'agir au nom de l'importateur. Ensuite, Clyde inscrit son nouveau client aux programmes de l'ASFC en communiquant avec l'ASFC au moyen d'un système sur papier.

★ Par l'entremise du Portail des clients du secteur commercial de l'ASFC, Clyde travaille avec son client pour effectuer l'inscription auprès de l'ASFC et obtenir le pouvoir délégué de gérer le compte du client en son nom. Une fois l'autorisation accordée, Clyde peut gérer l'inscription future de son client aux programmes de l'ASFC, en utilisant les renseignements préremplis sur les clients et un processus en ligne simple pour gérer plus efficacement les comptes clients.

⚡ 11 h – En parlant avec un de ses clients, Clyde doit ajuster le pays d'origine pour un grand nombre d'opérations en soumettant des formulaires B2 papier et/ou des demandes B2 « générales ». Clyde fait face à un défi, car ce processus prend beaucoup de temps. Enfin, Clyde s'efforce d'apporter une correction à l'opération d'un autre client avant la fin de la période sans intérêt de 5 jours.

★ Clyde effectue un rajustement en bloc des déclarations requises, par l'entremise du Portail des clients du secteur commercial de l'ASFC ou de l'EDI. De plus, Clyde dispose de 10 jours ouvrables après la production des RC pour apporter des corrections aux déclarations, sans intérêt. Par conséquent, il n'est pas stressé par le temps et il peut facilement traiter les corrections de son autre client, en utilisant le Portail ou l'EDI.

⚡ 13 h – Après le dîner, Clyde veut concilier ses dossiers internes et en confirmer l'exactitude par rapport à l'information dont dispose l'ASFC. Clyde a de la difficulté à produire des rapports avec ses données et doit communiquer avec l'ASFC pour obtenir les rapports dont il a besoin.







★ Clyde utilise le Portail des clients du secteur commercial de l'ASFC pour accéder à une vue complète des opérations de son client, ce qui lui permet d'extraire les données requises pour confirmer l'exactitude de ses dossiers. De plus, par l'intermédiaire du Portail, il obtient un rapport sommaire du courtier en douane, qui contient une liste des opérations et des paiements effectués au nom de l'importateur que Clyde peut utiliser pour facturer ses clients.

⚡ 15 h – Pour terminer sa journée, Clyde consulte le site Web de l'ASFC afin d'obtenir les renseignements nécessaires pour présenter des demandes de décision et d'appel au nom de ses clients, en utilisant un processus sur papier. Il trouve difficile de tenir ses clients informés, car il ne peut pas connaître l'état de ses demandes. De plus, il doit attendre de recevoir de la correspondance papier de l'ASFC, qui peut demander que d'autres documents lui soient envoyés avant que la décision ou l'appel puisse être traité.

★ Par l'entremise du Portail des clients du secteur commercial de l'ASFC, Clyde utilise une base de données consultable sur les décisions pour obtenir l'information dont il a besoin et soumet facilement les décisions et les appels par voie électronique, avec une visibilité claire sur le statut de ces demandes. De plus, Clyde joint électroniquement les documents justificatifs à ses demandes et reçoit instantanément la correspondance de l'ASFC, par l'entremise du Portail.

**GCRA** | Gestion des cotisations et des recettes de l'ASFC

**LEGENDE :**

-  **Systèmes**
-  **Outils/Formulaires**
-  **Avantages liés à la GCRA**
-  **Points délicats actuels**
-  **Autres relations**
-  **Relations avec l'ASFC**

# Customs Brokers

This document illustrates how CARM will impact the commercial importation process for **Customs Brokers**.

# CARM Key Information

DRAFT

Clyde Martinez

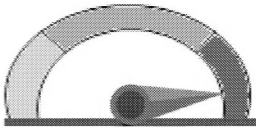


**Description**

This persona represents licensed customs brokers who help clients get their shipments released at point of arrival and accounted for, ensuring a compliant and seamless movement of goods. Customs brokers manage all key business data of their client, including the transmission of data, and act on behalf of clients to transact business with the CBSA. They may be represented by associations, such as the Canadian Society of Customs Brokers (CSCB) and the International Federation of Customs Brokers Associations (IFCBA), or may be independent.

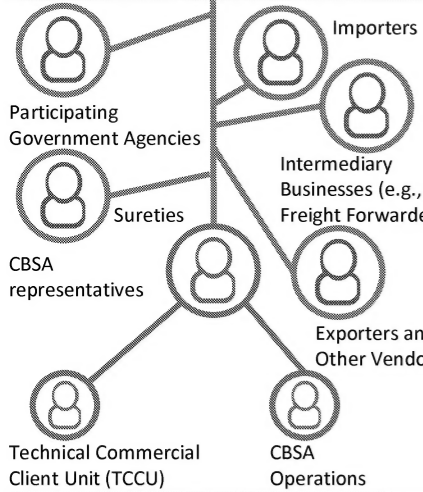
**Quote**

“Customs brokers will be able to service their clients with real-time data, and increased visibility into the commercial importation process.”



## Transformation Level

### Relationships



### Workspace

**Current Tools / Systems Used**

- US CROSS rulings
- EDI
- eManifest Portal
- CBSA and PGA Websites
- B2/B3 Forms
- D Memos
- Customs Notices
- SOAs and DNs
- FIRM reports
- Canada Gazette

**CARM Client Portal (CCP) Functionality**

Portal Functionality

- Digital declarations w/ post-entry and mass-adjustments
- Manage Rulings/Appeals/AMPS/Verifications
- Registration and Program Enrolment
- Statement of Account and electronic payment
- New EDI Capabilities
- Mass-adjustments

Manage Client Account View\*

Client #1

Client #2

Client #3

Client #4

> Consolidated view of client accounts that the broker has delegated authority to manage

**Key CARM Activities**

- ☒ CARM Webinars
- ☒ Trade Association meetings
- ☒ Conference Room Pilots
- ☒ TCP 'Open Mic' sessions
- ☒ CARM Communication (Website, Infographic, Social Media)

Hi, my name is Donna and I am a ChatBot.

*\*illustrative purposes only*

### Day in a Life

**8:30AM** – At the beginning of the day, Clyde is spending a considerable amount of time with his new client to send the required documentation to the CBSA to gain authority to act on their behalf.

**11:00AM** – The legislative deadline for adjusting a large series of his client's transactions is approaching. Clyde submits a paper 'blanket B2' form. He is worried that the CBSA may not send the paper authorization form back in time, and will lose the opportunity to collect refunds for some of transactions.

**1:30PM** – Clyde's client wants to appeal an AMPS penalty they received. Clyde works with the client to acquire a hardcopy record of their AMPS notice. After receiving and reviewing the notice, he submits the request via a paper process. The CBSA provides a limited amount of visibility into the status of his appeal, so it's challenging for Clyde to provide useful status updates to his client.

**5:30PM** – Before leaving for the day, one of Clyde's clients presents updated product information related to a series of transactions that were submitted 5 days ago. Clyde must urgently correct these transactions and populate a paper B2 form, before the 5-day interest-free period concludes.

Using the CCP, Clyde works with his client to gain delegated authority to operate on their behalf. Once obtained, Clyde will have the ability to manage key facets of his client's imports, which includes submitting declarations, post-entry adjustments and mass-adjustments, as well as trade verifications, rulings, and appeals.

Clyde makes a mass-adjustment using an e-declaration process in the CCP, or EDI. He is not constrained by time because he receives instant acknowledgement that his request was received. This ensures that the adjustments required will be considered eligible before the legislative deadline passes.

Using the CCP, Clyde has access to his client's AMPS notices and other key import documentation. Clyde refers to the notice and easily submits his AMPS appeal request electronically, with clear visibility of the status. Clyde receives correspondence in the portal, attaching supporting documentation to his request electronically.

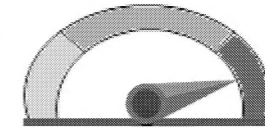
Under CARM, Clyde is afforded 10 weekdays post-SOA generation to make interest-free corrections to declarations, and can easily process his client's corrections, using the CCP or EDI.

# Importateurs qui font appel à un courtier

Ce document illustre l'incidence de la GCRA sur le processus d'importation commerciale pour les **importateurs qui utilisent les services d'un courtier**.

## Renseignements clés sur la GCRA

ÉBAUCHE



## Niveau de transformation

Ron Carter



### Description

Cette personne-ressource comprend les importateurs qui choisissent d'utiliser les services d'un courtier pour déclarer en détail leurs marchandises importées et faire affaire avec l'ASFC en leur nom. Le système de la GCRA permettra à cette personne-ressource de bénéficier d'une visibilité et d'un contrôle accrus sur son processus d'importation.

### Citation

« La GCRA donnera aux importateurs l'accès à des outils en libre-service simples qui leur donneront plus de visibilité et de contrôle sur leurs importations, ainsi que sur les processus qui s'ensuivront. »

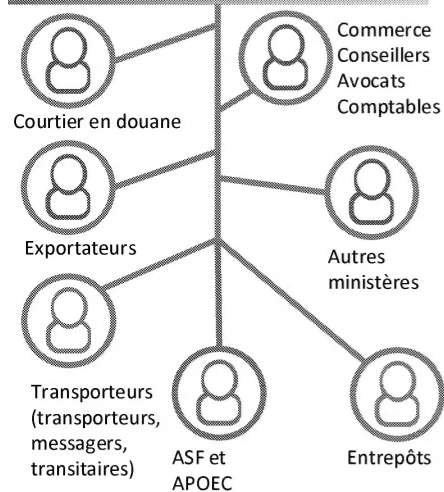
### Principaux changements

- Nouvelle capacité de gestion des appels, des décisions et des vérifications des opérations par l'entremise du Portail des clients du secteur commercial de l'ASFC.
- Augmentation des méthodes de paiement électronique (p. ex., débit préautorisé [DPA]).
- Introduction de la gestion de l'information sur les comptes de l'ASFC, de la consultation des relevés de compte (RC) et de l'historique des opérations, par l'entremise du Portail des clients du secteur commercial de la GCRA.
- Nouveau modèle de sécurité financière établi au niveau de l'importateur
- Introduction de la gestion des déclarations par l'entremise du Portail des clients du secteur commercial de l'ASFC (y compris les corrections, les rajustements, la révision et les rajustements en bloc).

### Principaux avantages

- ★ Capacité de déléguer des pouvoirs à des tiers fournisseurs de services et à des courtiers, avec une visibilité et une piste de vérification accrues dans leurs activités.
- ★ Possibilité de consulter les relevés de compte par l'entremise du Portail des clients du secteur commercial de l'ASFC et d'effectuer des paiements électroniques.
- ★ Capacité de présenter et de suivre les demandes présentées à l'ASFC (y compris les décisions, les appels, les rajustements et les vérifications des opérations).
- ★ Possibilité de s'inscrire aux programmes de l'ASFC et de gérer facilement les données sur les clients par l'entremise du Portail des clients du secteur commercial de l'ASFC.

### Relations



### Espace de travail

#### Outils actuels et systèmes utilisés

- 📄 Sites Web de l'ASFC et d'autres ministères
- 📄 Formulaires B2/B3
- 📄 Mémoires dums D
- 📄 Avis des douanes

#### CARM Fonctionnalité du Portail des clients du secteur commercial de l'ASFC Principales activités de la GCRA

▶ Délégation de pouvoirs

▶ Relevé de compte

▶ Antécédents en matière de conformité et correspondance

▶ Inscription et adhésion aux programmes

▶ Outil de classification et de calcul des tarifs du SH

▶ Gérer les décisions, les appels et les vérifications

▶ Paiements électroniques

▶ Déclarations numériques avec modifications/rajustements en bloc

☒ Webinaires sur la GCRA

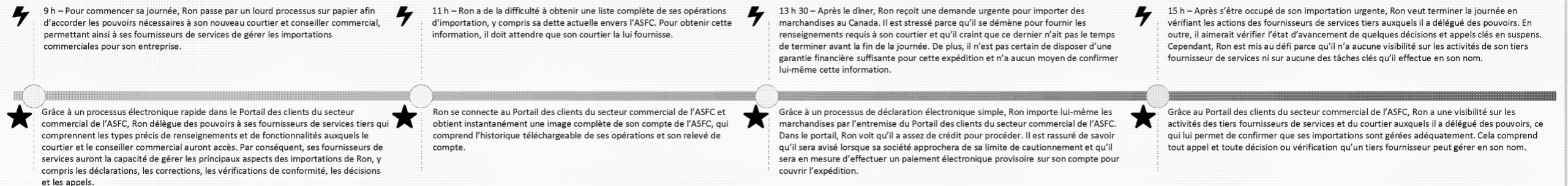
☒ Réunions des associations professionnelles

☒ Ateliers d'essai

☒ Séances à micros ouverts pour les PCC

☒ Communication de la GCRA (site Web, infographie, médias sociaux)

### Une journée dans la vie



GCRA

Gestion des cotisations et des recettes de l'ASFC

LÉGENDE :



Systèmes



Outils/Formulaires



Avantages liés à la GCRA



Points délicats actuels



Autres relations



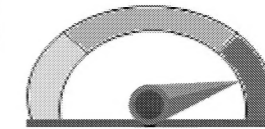
Relations avec l'ASFC

# Importers who use a Customs Broker

This document illustrates how CARM will impact the commercial importation process for **Importers who use a Customs Broker**.

## CARM Key Information

DRAFT



## Transformation Level

Ron Carter



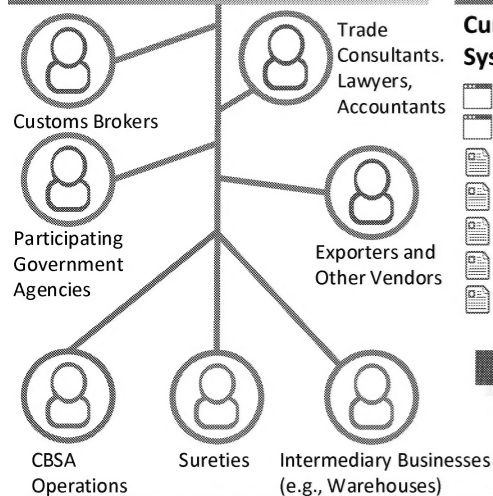
### Description

This persona represents importers who choose to use the services of a customs broker to support and/or account for their imported goods and transact business with the CBSA on their behalf. CARM will allow this persona to experience heightened visibility and control over their importing process and data.

### Quote

"CARM will give importers access to a self-service portal that will give them more visibility and control over their imports and data, as well as the processes occurring afterwards."

### Relationships



### Workspace

#### Current Tools / Systems Used

- CBSA and PGA Websites
- EDI
- B2/B3 Forms
- D Memos
- Customs Notices
- SOAs
- Daily Notices

#### CARM Client Portal (CCP) Functionality

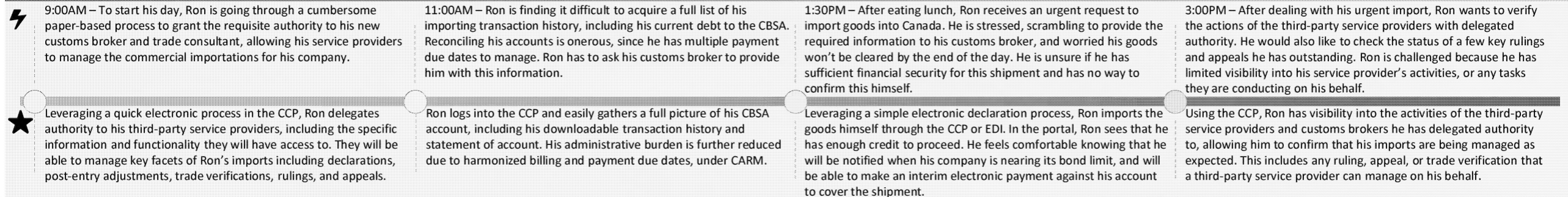
- Delegation of Authority
- Statement of Account
- Compliance History and Correspondence
- Registration and Program Enrolment
- HS Classification and Tariff Calculation Tool
- Manage Rulings/Appeals/AMPS/Verifications
- Electronic Payments
- Digital declarations with post-entry adjustments

#### Key CARM Activities

- ☒ CARM Webinars
- ☒ Trade Association meetings
- ☒ Conference Room Pilots
- ☒ TCP 'Open Mic' sessions
- ☒ CARM Communication (Website, Infographic, Social Media)

Hi, my name is Donna and I am a ChatBot.

### Day in a Life



CARM | CBSA Assessment and Revenue Management

LEGEND:



Systems



Tools/Forms



CARM Benefits



Current Pain-Points



Non-CBSA relationship



CBSA relationship

\*\*\* Concepts are provided for discussion and are subject to change. Do not distribute.\*\*\*

# Customs Brokers

This document illustrates how CARM will impact the commercial importation process for Customs Brokers.

CARM Key Information



**Transformation Level: High**

DRAFT

Clyde Martinez



## Relationships



### Non-CBSA relationships

- Importers
- Participating Government Agencies
- Intermediary Businesses (e.g., Freight Forwarders)
- Sureties
- Exporters and Other Vendors



### CBSA relationships

- CBSA representatives
- Technical Commercial Client Unit (TCCU)
- Trade Policy and Recourse
- CBSA Operations

## Description

This persona represents licensed customs brokers who help clients get their shipments released at point of arrival and accounted for, ensuring a compliant and seamless movement of goods. Characteristics of customs brokers include:

- **Manage all key business data and transmission** of data for clients
- **Act on behalf of clients** to transact business with the CBSA
- **Represented by associations**, such as the Canadian Society of Customs Brokers (CSCB) and the International Federation of Customs Brokers Associations (IFCBA), or may be **independent**

## Workspace

### CARM Client Portal (CCP) Functionality

#### Portal Functionality

- ▶ Digital CADs w/post-entry and mass-adjustments
- ▶ Manage Rulings/Appeals/AMPS/Verifications
- ▶ Registration and Program Enrolment
- ▶ Statement of Account and electronic payment

#### New EDI Capabilities

- ▶ Mass-adjustments

Hi, my name is Donna and I am a ChatBot.

\*illustrative purposes only

## Quote

*"Customs brokers will be able to service their clients with real-time data, and increased visibility into the commercial importation process."*

## Key Changes

- ▶ Submit commercial accounting declarations, corrections, post-entry adjustments and mass-adjustments, using the CCP and EDI
- ▶ New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date
- ▶ Introduction of electronic delegation of authority to access and operate an Importer's CPP account
- ▶ New financial security model set at the Importer-level
- ▶ New capability to manage appeals, rulings, AMPS, and trade verifications
- ▶ New Customs Broker Summary Report that summarizes key activities per billing period

## Key Benefits

- ★ Access and manage client account data in real-time, including all transactional data (Note: client must have delegated access)
- ★ Submit and track requests made to the CBSA, including appeals, adjustments, trade verifications, and AMPS
- ★ View appeals, adjustments, trade verifications, and AMPS
- ★ Revised billing cycle will provide more time to make interest-free corrections
- ★ Access the online tariff calculation tool and a searchable rulings database
- ★ Interact with clients with added flexibility and speed, due to the availability of the CCP accessible to both parties
- ★ Answer all your importing questions using the ChatBot
- ★ Register and enroll into CBSA programs

CARM

CBSA Assessment and Revenue Management

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# Day in a Life: Customs Brokers

## Current State

- ⚡ At the beginning of the day, Clyde is spending his morning working with his client to successfully complete the required documentation to act on their behalf.
- ⚡ The legislative deadline for adjusting a large series of his client's transactions is approaching. Clyde submits a paper 'blanket B2' form. He is worried that the CBSA may not send the paper authorization form back in time, and will lose the opportunity to collect refunds for some of transactions.
- ⚡ Clyde's client wants to appeal an AMPS penalty they received. Clyde works with the client to acquire a hardcopy record of their AMPS notice. After receiving and reviewing the notice, he submits the request via a paper process. The CBSA provides a limited visibility into the status of his appeal, so it's challenging for Clyde to provide useful status updates to his client.
- ⚡ Before leaving for the day, one of Clyde's clients presents updated product information related to a series of transactions that were submitted 5 business days ago. Clyde must urgently change these transactions before confirming the entries by the 5-day deadline, or else he will have to populate a paper B2 form and incur interest on these transactions.

8:30  
am

11:00  
am

1:30  
pm

5:30  
pm

## Future State


- ★ Upon receiving the requisite authorization, Clyde works with his client to **gain delegated authority to operate their CCP account on their behalf**. Clyde has the ability to manage key facets of his client's imports in the portal, such as submitting commercial accounting declarations, post-entry adjustments and mass-adjustments, as well as trade verifications, rulings, and appeals.
- ★ Clyde makes a **mass-adjustment using an e-declaration process in the CCP, or EDI**. He is **not constrained by time** because he receives instant acknowledgement that his request was received. This ensures that the adjustments required will be considered eligible before the legislative deadline passes.
- ★ Using the CCP, Clyde **has access to his client's AMPS notices and other key import documentation**. Clyde refers to the notice and easily submits his **AMPS appeal request electronically, with clear visibility of the status**. Clyde receives correspondence in the portal, with supporting documentation to his request electronically.
- ★ Under CARM, Clyde **quickly makes interest-free electronic corrections** to these transactions at any point between CAD submission date and payment due date.

\*\*\* Draft concepts are provided for discussion and are subject to change \*\*\*

LEGEND: ★ CARM Benefits ⚡ Current Pain-Points

Customs Brokers

Clyde Martinez



Relationships

Participating Government Agencies

Sureties

CBSA representatives

Technical Commercial Client Unit (TCCU)

Importers

Intermediary Businesses (e.g., Freight Forwarders)

Exporters and Other Vendors

Trade Policy and Recourse

CBSA Operations

This document illustrates how CARM will impact the commercial importation process for Customs Brokers.

Description

This persona represents licensed customs brokers who help clients get their shipments released at point of arrival and accounted for, ensuring a compliant and seamless movement of goods. Customs brokers manage all key business data of their client, including the transmission of data, and act on behalf of clients to transact business with the CBSA. They may be represented by associations, such as the Canadian Society of Customs Brokers (CSCB) and the International Federation of Customs Brokers Associations (IFCBA), or may be independent.

Quote

"Customs brokers will be able to service their clients with real-time data, and increased visibility into the commercial importation process."

Workspace

CARM Client Portal (CCP) Functionality

Portal Functionality

Digital CADs w/ post-entry and mass-adjustments

Manage Rulings/Appeals/AMPS/Verifications

Registration and Program Enrolment

Statement of Account and electronic payment

New EDI Capabilities

Mass-adjustments

Manage Client Account View\*

Client #1

Client #2

Client #3

Client #4

Consolidated view of client accounts that the broker has delegated authority to manage

Current Tools / Systems Used

☐ US CROSS rulings

☐ EDI

☐ eManifest Portal

☐ CBSA and PGA Websites

☐ B2/B3 Forms

☐ D Memos and Customs Notices

☐ CARL and EARL subscriptions

☐ SOAs and DNs

☐ FIRM reports

☐ Canada Gazette

Key CARM Activities

☒ CARM Webinars

☒ Trade Association meetings

☒ Conference Room Pilots

☒ TCP 'Open Mic' sessions

☒ CARM Communication (Website, Infographic, Social Media)

Key Benefits

★ Ability to gather and manage client account data in real-time, including all transactional data that the client has delegated access to.

★ Ability to submit and track requests made to the CBSA with increased visibility, including appeals, adjustments, trade verifications, and AMPS, through the CCP.

★ Revised billing cycle will provide more time to make interest-free corrections.

★ Access to an online tariff calculation tool and a searchable rulings database.

★ Added flexibility and speed when interacting with clients, due to the availability of the CCP accessible to both parties.

★ Availability of a ChatBot to answer importing questions.

★ Ability to register and enroll into CBSA programs.

Hi, my name is Donna and I am a ChatBot.

\*illustrative purposes only

CARM Key Inf

Original

Transformation Level

Key Changes

Availability to submit commercial accounting declarations, corrections, post-entry adjustments and mass-adjustments, using the CCP and EDI

New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date

Introduction of electronic delegation of authority to access and operate an Importer's account in the CCP

New financial security model set at the Importer-level

New capability to manage appeals, rulings, AMPS, and trade verifications through the CCP

New Customs Broker Summary Report that summarizes their key activities per billing period

Key Benefits

★ Ability to gather and manage client account data in real-time, including all transactional data that the client has delegated access to.

★ Ability to submit and track requests made to the CBSA with increased visibility, including appeals, adjustments, trade verifications, and AMPS, through the CCP.

★ Revised billing cycle will provide more time to make interest-free corrections.

★ Access to an online tariff calculation tool and a searchable rulings database.

★ Added flexibility and speed when interacting with clients, due to the availability of the CCP accessible to both parties.

★ Availability of a ChatBot to answer importing questions.

★ Ability to register and enroll into CBSA programs.

CARM

CBSA Assessment and Revenue Management

LEGEND:

☐ Systems

☐ Tools/Forms

★ CARM Benefits

⚡ Current Pain-Points

☐ Non-CBSA relationship

☐ CBSA relationship

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## Day in a Life: Customs Brokers

Original



8:30  
am

At the beginning of the day, Clyde is spending his morning working with his client to successfully complete the required documentation to act on their behalf.



Upon receiving the requisite authorization, Clyde works with his client to gain delegated authority to operate their CCP account on their behalf. Clyde has the ability to manage key facets of his client's imports in the portal, which includes submitting commercial accounting declarations, post-entry adjustments and mass-adjustments, as well as trade verifications, rulings, and appeals.

11:00  
am

The legislative deadline for adjusting a large series of his client's transactions is approaching. Clyde submits a paper 'blanket B2' form. He is worried that the CBSA may not send the paper authorization form back in time, and will lose the opportunity to collect refunds for some of transactions.

Clyde makes a mass-adjustment using an e-declaration process in the CCP, or EDI. He is not constrained by time because he receives instant acknowledgement that his request was received. This ensures that the adjustments required will be considered eligible before the legislative deadline passes.

1:30  
pm

Clyde's client wants to appeal an AMPS penalty they received. Clyde works with the client to acquire a hardcopy record of their AMPS notice. After receiving and reviewing the notice, he submits the request via a paper process. The CBSA provides a limited amount of visibility into the status of his appeal, so it's challenging for Clyde to provide useful status updates to his client.

Using the CCP, Clyde has access to his client's AMPS notices and other key import documentation. Clyde refers to the notice and easily submits his AMPS appeal request electronically, with clear visibility of the status. Clyde receives correspondence in the portal, attaching supporting documentation to his request electronically.

5:30  
pm

Before leaving for the day, one of Clyde's clients presents updated product information related to a series of transactions that were submitted 5 business days ago. Clyde must urgently change these transactions before confirming the entries by the 5-day deadline, or else he will have to populate a paper B2 form and incur interest on these transactions.

Under CARM, Clyde quickly makes interest-free electronic corrections to these transactions at any point between CAD submission date and payment due date.



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

ÉBAUCHE

# Personas des partenaires de la chaîne commerciale

ÉBAUCHE – AUX FINS DE DISCUSSION SEULEMENT

Canada

**GCRA** | Gestion des cotisations et  
des recettes de l'ASFC



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

# Courtiers en douane

Canada

GCRA

Gestion des cotisations et  
des recettes de l'ASFC

# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

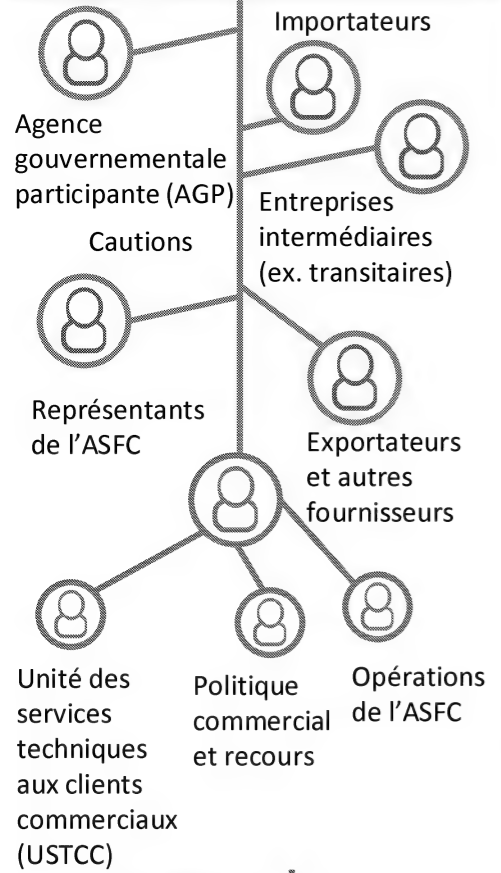
- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- EDI = Échange de données informatisées
- AGP = Agence gouvernementale participante
- RC = Relevé de compte
- AQ = Avis quotidien
- BRAD = Bibliothèque de référence automatisée des douanes
- BRAA = Bibliothèque de référence automatisée sur les accises
- Les entreprises intermédiaires comprennent les transporteurs, les messagers, les transitaires et les entrepôts
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

# Courtiers en douane

Clyde Martinez



## Relations



## Description

Cette persona est représentative des courtiers en douane agréés qui aident les clients à faire dédouaner les marchandises qu'ils expédient et à en faire la déclaration en détail au point d'arrivée, veillant ainsi à ce que la circulation des marchandises soit conforme à la loi et se déroule rondement. Les courtiers en douane gèrent toutes les principales données commerciales de leurs clients, notamment leur transmission, et traitent avec l'ASFC pour le compte des clients. Ils peuvent être représentés par des associations comme la Société canadienne des courtiers en douane (SCCD) et l'International Federation of Customs Brokers Associations (IFCBA), ou ils peuvent être indépendants.

## Espace de travail

### Outils / Systèmes actuellement utilisés

- ☐ Décisions du système CROSS des É.-U.
- ☐ Échange de données informatisé (DI)
- ☐ Portail du manifeste électronique
- ☐ Sites Web de l'ASFC et des OGP
- ☐ Formulaires B2/B3
- ☐ Mémoires D et avis de douanes
- ☐ Abonnements à la BRAD et SARA
- ☐ Relevés de compte (RC) et AQ
- ☐ Rapports FIRM
- ☐ Gazette du Canada

### Fonctionnalité du portail client de la GCRA (PCG)

#### Fonctionnalité du portail

- ▶ DDC numérique assorties de rajustements après l'entrée et en masse
- ▶ Gestion des décisions/appels/RSAP/vérifications
- ▶ Enregistrement et inscription au programme
- ▶ État de compte et paiement électronique

#### Nouvelles capacités d'EDI

- ▶ Rajustements en masse

#### Vue de la gestion des comptes clients\*

Client #1

Client #2

Client #3

Client #4

➤ Vue regroupée des comptes clients que le courtier, par délégation, a le pouvoir de gérer.

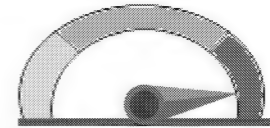
Bonjour, je m'appelle Donna et je suis un robot interactif

\*À titre indicatif seulement.

## Citation

« Les courtiers en douane doivent être en mesure de servir leurs clients en utilisant des données en temps réel et en leur permettant de voir plus clairement comment fonctionne le processus d'importation. »

## Information clé GCRA



## Niveau de transformation

### Principaux changements

- Être disponible pour présenter des déclarations en détail de marchandises commerciales, apporter des corrections, effectuer des redressements après l'entrée et des rajustements en masse, par le biais du portail client de la GCRA (PCG) et de l'échange de données informatisé (EDI)
- Nouvelles dates harmonisées de facturation et d'échéance du paiement,
- assorties d'une période de correction exempte d'intérêt à partir de la présentation de la déclaration en détail commerciale (DDC) jusqu'à la date d'échéance du paiement
- Instauration de la délégation de pouvoir par voie électronique pour l'accès à un compte d'importateur et la gestion de celui-ci dans le portail client de la GCRA
- Établissement d'un nouveau modèle de sécurité financière sur le plan de l'importateur
- Nouvelle capacité de gérer les appels, les décisions, les RSAP et les vérifications des échanges commerciaux au moyen du portail client de la GCRA
- Nouveau rapport sommaire des courtiers en douane qui résume leurs principales activités par période de facturation

### Principaux avantages

- ★ Capacité de recueillir et de gérer des données sur les comptes clients en temps réel, notamment toutes les données transactionnelles auxquelles le client a accès par délégation.
- ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG.
- ★ La révision du cycle de facturation donnera plus de temps pour apporter des corrections exemptes d'intérêts.
- ★ Accès à un outil en ligne de calcul des tarifs et à une base de données interrogeable sur les décisions.
- ★ Augmentation de la souplesse et de la rapidité de l'interaction avec les clients, grâce à la disponibilité du PCG, auquel les deux parties ont accès.
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations.
- ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC.

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\*\*\*Concepts aux fins de discussion et pouvant faire l'objet de modifications. Ne pas diffuser.

**LÉGENDE:**

- ☐ Systèmes
- ☐ Outils / formulaires
- ★ Avantages de la GCRA
- ⚡ Irritants actuels
- 👤 Relations autres que celles de l'ASFC
- 👤 Relation de l'ASFC

## Une journée dans la vie: Courtiers en douane



Au début de la journée, Clyde passe la matinée à travailler avec son client pour réussir à remplir les documents dont il a besoin pour agir en son nom.

8h30



Sur réception de l'autorisation requise, Clyde travaille avec son client pour obtenir par délégation le pouvoir de gérer son compte de PCG au nom de ce dernier. Clyde a la possibilité de gérer les principaux volets des importations de son client dans le portail, ce qui comprend la présentation de déclarations en détail de marchandises commerciales, les rajustements après l'entrée et les rajustements en masse, ainsi que les vérifications des échanges commerciaux, les décisions et les appels.

11h00

La date limite prescrite par la loi pour rajuster un grand ensemble de transactions de son client approche. Clyde présente un « formulaire général B2 » papier. Il craint que l'ASFC ne renvoie pas à temps le formulaire d'autorisation imprimé et qu'il ne perde l'occasion d'obtenir des remboursements pour quelques-unes des transactions.

Clyde effectue un ajustement en masse au moyen d'un processus de déclaration électronique par le biais du PCG ou de l'EDI. Il n'a pas besoin de se soucier de la date limite, car il reçoit immédiatement un accusé de réception de sa demande, ce qui fait en sorte que les rajustements nécessaires soient considérés comme admissibles avant l'échéance prévue par la loi.

Le client de Clyde souhaite porter en appel une sanction du RSAP qu'il a reçue. Clyde travaille avec le client pour obtenir une copie papier de son avis du RSAP. Après l'avoir reçue et examinée, il présente la demande au moyen d'un processus sur papier. L'ASFC lui communique de l'information limitée sur l'état d'avancement de son appel, et il est de ce fait difficile pour Clyde de faire utilement le point pour son client.

13h30

Par le biais du PCG, Clyde a accès aux avis du RSAP de son client et à d'autres documents d'importation essentiels. Clyde se reporte à l'avis et présente sans mal sa demande d'appel du RSAP par voie électronique, en ayant une indication claire de l'état d'avancement. Clyde reçoit de la correspondance dans le portail et joint à sa demande des documents à l'appui par voie électronique.

17h30

Avant que Clyde parte à la fin de la journée, l'un de ses clients présente des renseignements à jour sur des produits visés par une série de transactions qui ont été présentées il y a cinq jours ouvrables. Clyde doit modifier d'urgence ces transactions avant de confirmer les entrées avant la date limite de cinq jours, faute de quoi il devra remplir un formulaire B2 papier et payer des intérêts sur ces transactions.

Dans le cadre de la GCRA, Clyde apporte rapidement, par voie électronique, des corrections exemptes d'intérêts à ces transactions à tout moment, à partir de la date de présentation de la DDC et la date d'échéance du paiement.



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# Importateurs utilisant les services d'un courtier en douane

Canada

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# Contexte et objectif du document

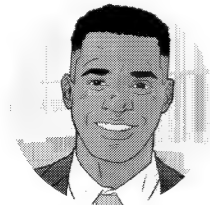
- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

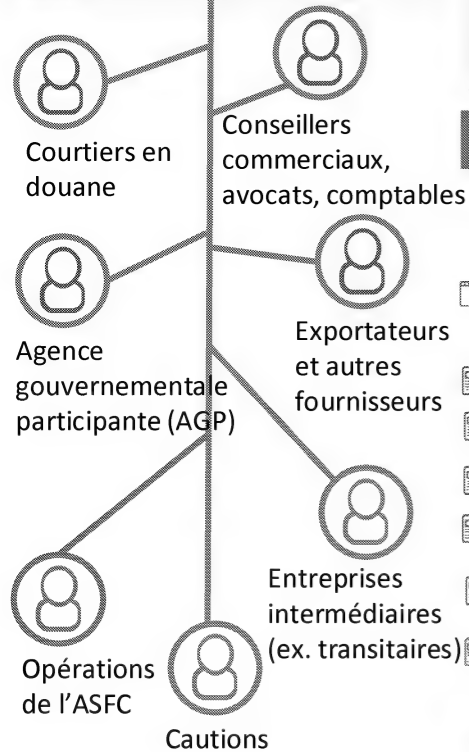
- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- MDM = Mainlevée contre documentation minimale
- RC = Relevé de compte
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- EDI = Échange de données informatisées
- AGP = Agence gouvernementale participante
- Les entreprises intermédiaires comprennent les transporteurs, les messagers, les transitaires et les entrepôts
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

# Importateurs utilisant les services d'un courtier en douane

Ron Carter



## Relationships



## Description

Cette persona est représentative des importateurs qui choisissent d'avoir recours aux services d'un courtier pour qu'il déclare pour leur compte ou les aide à déclarer en détail leurs marchandises importées et traite avec l'ASFC en leur nom. La GCRA permettra à cette persona d'avoir plus d'information sur son processus d'importation et ses données et d'exercer un contrôle plus serré sur ceux-ci.

## Citation

« La GCRA donnera aux importateurs l'accès à un portail en libre-service simple qui leur permettra d'avoir plus d'information sur leur processus d'importation et leurs données et d'exercer un contrôle plus serré sur ceux-ci, ainsi que sur les processus qui s'ensuivront. »

## Espace de travail

### Outils / Systèmes actuellement utilisés

- 📁 Sites Web de l'ASFC et des OGP
- 📄 EDI
- 📄 Formulaires B2/B3
- 📄 Mémos D
- 📄 Avis de douanes
- 📄 Relevés de comptes
- 📄 Avis quotidiens

### Fonctionnalité du portail client de la GCRA (PCG)

- ▶ Délégation de pouvoirs
- ▶ Relevé de compte
- ▶ Historique de conformité et correspondance
- ▶ Enregistrement et inscription au programme

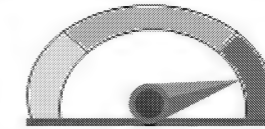
Bonjour, je m'appelle Donna et je suis un robot interactif.

*\*À titre indicatif seulement*

### Principales activités de la GCRA

- ✓ Webinaires de la GCRA
- ✓ Réunions des associations comm.
- ✓ Projets pilotes de salle de conférence
- ✓ Séances « à micro ouvert » des PCC
- ✓ Communication de la GCRA (site Web, infographie, médias sociaux)

## Information clé GCRA



## Niveau de transformation

### Principaux changements

- Nouvelle capacité de gérer les appels, les décisions, les RSAP et les vérifications des échanges commerciaux au moyen du portail client de la GCRA
- Méthodes de paiements électroniques supplémentaires (ex. Débit préautorisé (PAD))
- Introduction de la gestion des renseignements des comptes de l'ASFC, des données RSAP, de la visualisation des RDC et de l'historique des transactions, via le PCG
- Instauration de la délégation de pouvoir par voie électronique pour l'accès à un compte d'importateur et la gestion de celui-ci dans le portail client de la GCRA
- Établissement d'un nouveau modèle de sécurité financière sur le plan de l'importateur
- Être disponible pour présenter des déclarations en détail de marchandises commerciales, apporter des corrections, effectuer des redressements après l'entrée et des rajustements en masse, par le biais du portail client de la GCRA (PCG) et de l'échange de données informatisé (EDI)

### Principaux avantages

- ★ Capacité de déléguer l'autorité aux prestataires de services tiers et des courtiers en douane, avec une visibilité et une piste de vérification élargie dans leurs activités, par le biais du PCG
- ★ Capacité de gérer un processus de déclaration commerciale comptable simple avec des capacités de gestion de versions, via le PCG ou l'EDI
- ★ Capacité de visualiser RDC, les frais commerciaux et de surveiller la sécurité financière en temps réel via le PCG et d'effectuer des paiements électroniques
- ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG
- ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC et gérer facilement les données de compte en temps réel, via le PCG
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations

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LÉGENDE: 📁 Systèmes

📄 Outils / Formulaires

★ Avantages de la GCRA

⚡ Irritants actuels

👤 Relations autres que celles de l'ASFC

👤 Relation de l'ASFC

\*\*\* Concepts are provided for discussion and are subject to change. Do not distribute.\*\*\*

# Une journée dans la vie: Importateurs utilisant les services d'un courtier en douane



9h00

Pour commencer sa journée, Ron remplit, de concert avec son nouveau courtier en douane et conseiller commercial, la documentation exigée, ce qui permet à ses fournisseurs de services de gérer les importations commerciales pour son entreprise.



Lorsque l'autorisation légale est accordée, Ron délègue à ses fournisseurs de services tiers le pouvoir de gérer son compte du PCG en son nom, ce qui consiste entre autres à préciser à quelles fonctions ils auront accès. Ils seront en mesure de gérer les principaux volets des importations de Ron dans le portail, notamment les déclarations en détail de marchandises commerciales, les rajustements après l'entrée, les vérifications commerciales, les décisions et les appels.

Après avoir dîné, Ron reçoit une demande pour une importation urgente de marchandises au Canada. Il est sous pression et se démène pour fournir les renseignements exigés à son courtier et il craint que ce ses marchandises ne soient pas dédouanées avant la fin de la journée. Il n'est pas certain de disposer d'une garantie financière suffisante pour cette expédition et n'a aucun moyen de le confirmer par ses propres moyens.

13h30

Après avoir rempli la demande de MDM, Ron remplit lui-même sa déclaration en détail de marchandises commerciales par le biais du PCG ou de l'EDI. Dans le portail, Ron voit qu'il a une couverture de garantie de l'importateur suffisante. Il est rassuré de savoir qu'il sera averti lorsque sa société approchera de sa limite de cautionnement et qu'il sera en mesure d'effectuer un paiement provisoire par voie électronique pour couvrir l'expédition.

11h00

Ron a du mal à obtenir une liste complète établissant l'historique de ses transactions d'importation, notamment la somme qu'il doit actuellement à l'ASFC. Le rapprochement de ses comptes est une opération fastidieuse, car il doit gérer plusieurs dates d'échéance de paiement. Ron doit demander à son courtier en douane de lui fournir ces renseignements.

Ron ouvre une session dans le PCG et obtient facilement une image complète de son compte de l'ASFC, qui comprend l'historique téléchargeable de ses transactions et son relevé de compte. Son fardeau administratif est encore réduit grâce à l'harmonisation des dates de facturation et de paiement dans le cadre de la GCRA.

Après s'être occupé de son importation urgente, Ron souhaite vérifier ce qu'ont fait les fournisseurs de services tiers auxquels il a délégué des pouvoirs. Il aimerait en outre vérifier l'état d'avancement de quelques décisions et appels décisifs qui sont en suspens. L'opération est ardue parce que Ron ne voit qu'une partie des activités de son fournisseur de services tiers ou des tâches essentielles qu'il exécute pour son compte.

15h00

Par le biais du PCG, Ron peut avoir à l'œil les activités des tiers fournisseurs de services et du courtier auxquels il a délégué des pouvoirs, ce qui lui permet de confirmer que ses importations sont gérées de la manière attendue. Cela comprend tout appel, toute décision ou vérification des échanges commerciaux qu'un tiers fournisseur peut gérer en son nom.



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# Conseillers en services commerciaux

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# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

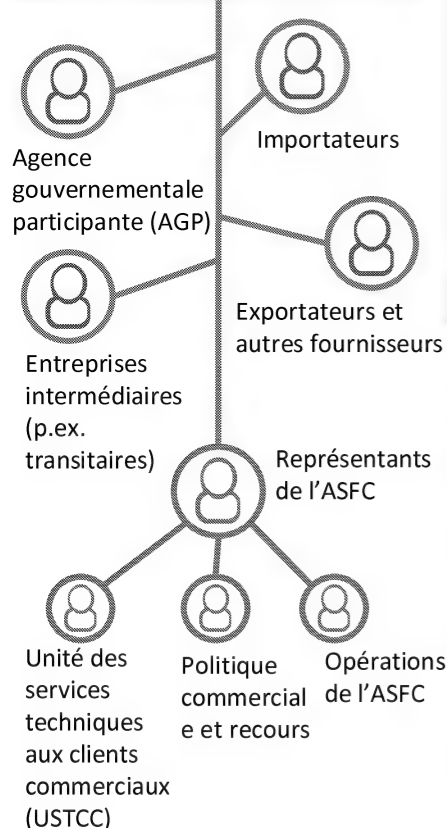
- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- EDI = Échange de données informatisées
- AGP = Agence gouvernementale participante
- RC = Relevé de compte
- AQ = Avis quotidien
- SH= Système harmonisé de désignation et de codification des marchandises
- BRAD = Bibliothèque de référence automatisée des douanes
- BRAA = Bibliothèque de référence automatisée sur les accises
- Les entreprises intermédiaires comprennent les transporteurs, les messagers, les transitaires et les entrepôts
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

# Conseillers en services commerciaux

Marty Bull



## Relations



## Description

Les conseillers en services commerciaux transigent avec l'ASFC pour le compte de leurs clients. Ils fournissent à leurs clients toute une gamme de services consultatifs qui permettent à ces derniers de gérer leurs importations avec une efficacité optimale. Ils informent leurs clients et les aident à interpréter les exigences réglementaires en termes commerciaux. Les principaux domaines dans lesquels ils interviennent sont notamment la gestion des rajustements après l'entrée aux fins de l'évaluation, la classification et l'origine des marchandises. Ils aident en outre les clients à gérer leurs activités de conformité auprès de l'ASFC, notamment les décisions, les appels et les vérifications des échanges commerciaux. Les conseillers en services commerciaux comptent dans leurs rangs des experts-conseils en commerce, des avocats spécialisés en droit commercial et des comptables. Enfin, ils font office d'experts en la matière au sein des comités de commerce.

## Espace de travail

### Outils / Systèmes actuellement utilisés

- Sites Web de l'ASFC et des OGP
- Décisions du système CROSS des É.-U.
- Formulaires B2/B3
- Mémoires D et avis des douanes
- Abonnements à la BRAD et à SARA
- Relevés de compte (RC) et AQ
- Rapports FIRM
- Gazette du Canada
- Publications commerciales

### Fonctionnalité du portail client de la GCRA (PCG)

#### Fonctionnalité du portail

- DDC numériques assorties de rajustements après l'entrée et en masse
- Gestion des décisions/appels/RSAP/vérifications
- Enregistrement et inscription au programme
- État de compte et paiement électronique
- Nouvelles capacités d'EDI
- Rajustements en masse

#### Vue de la gestion des comptes clients\*

- Client #1
- Client #2
- Client #3
- Client #4
- Vue regroupée des comptes clients que le courtier a, par délégation, le pouvoir de gérer

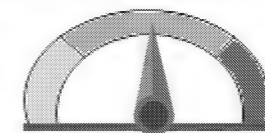
Bonjour, je m'appelle Donna et je suis un robot interactif.

\*À titre indicatif seulement

## Citation

« La GCRA permettra aux conseillers en services commerciaux d'offrir une meilleure expérience aux clients en simplifiant les rajustements après l'entrée, en leur donnant davantage d'information et en rationalisant les principaux volets du processus d'importation de marchandises commerciales. »

## Information clé GCRA



## Niveau de transformation

### Principaux changements

- Nouvelle capacité de gérer les appels, les décisions, les RSAP et les vérifications des échanges commerciaux au moyen du portail client de la GCRA
- Établissement d'un nouveau modèle de sécurité financière sur le plan de l'importateur
- Être disponible pour présenter des déclarations en détail de marchandises commerciales, apporter des corrections, effectuer des redressements après l'entrée et des rajustements en masse, par le biais du portail client de la GCRA (PCG) et de l'échange de données informatisé (EDI)
- Nouvelles dates harmonisées de facturation et d'échéance du paiement, assorties d'une période de correction exempte d'intérêt à partir de la présentation de la déclaration en détail commerciale (DDC) jusqu'à la date d'échéance du paiement
- Instauration de la délégation de pouvoir par voie électronique pour l'accès à un compte d'importateur et la gestion de celui-ci dans le portail client de la GCRA
- Obligation de s'inscrire par voie électronique au programme de l'ASFC (c.-à-d. qu'il faut obtenir un BN15)

### Principaux avantages

- ★ Capacité de recueillir et de gérer des données sur les comptes clients en temps réel, notamment toutes les données transactionnelles auxquelles le client a accès par délégation, par le biais du PCG.
- ★ Fonctionnalités de gestion des versions et des documents permettant une gestion plus efficace des ajustements de déclaration après l'entrée, via le PCG ou l'EDI.
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations.
- ★ Accès à un outil en ligne de calcul des tarifs et à une base de données interrogeable sur les décisions.
- ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG.
- ★ Augmentation de la souplesse et de la rapidité de l'interaction avec les clients, grâce à la disponibilité du PCG, auquel les deux parties ont accès.
- ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC.

LÉGENDE: Systèmes

Outils / Formulaires

★ Avantages de la GCRA

Irritants actuels

Relations autres que celles de l'ASFC

Relation de l'ASFC

# Une journée dans la vie de: Conseillers en services commerciaux



Pour commencer sa journée, Marty remplit, de concert avec un nouvel importateur, les documents exigés pour traiter avec l'ASFC pour le compte de ce dernier.

8h30



Après avoir obtenu l'autorisation légale de son client, Marty obtient un BN15 pour ses activités de conseiller en commerce auprès de l'ASFC. Ensuite, il utilise un processus électronique intuitif pour obtenir par délégation le pouvoir de gérer le compte du PCG pour le compte de son client.

Le client de Marty veut porter en appel une sanction du RSAP de l'ASFC. Il communique avec le client pour obtenir la copie papier de son avis du RSAP. Après avoir reçu et examiné l'avis, Marty présente la demande au moyen d'un processus papier. L'ASFC donne de l'information limitée sur l'état d'avancement de son appel, de sorte qu'il est difficile pour Marty de faire utilement le point pour son client.

14h00

Par le biais du PCG, Marty a accès aux avis du RSAP de son client et à d'autres documents d'importation essentiels. Marty examine l'avis et soumet sans mal sa demande d'appel du RSAP par voie électronique, en indiquant clairement l'état d'avancement. Marty reçoit de la correspondance de l'ASFC dans le portail et joint des documents à l'appui à sa demande d'appel.

La date limite fixée par la loi pour rajuster un ensemble important de transactions menées avec les clients approche. Marty remplit un « formulaire B2 général » papier et le présente pour approbation à l'ASFC. Il peut falloir beaucoup de temps avant que l'ASFC donne cette approbation, de sorte que Marty craint que son client ne perde la possibilité d'obtenir des remboursements pour quelques-unes de ses anciennes transactions.

11h30

Marty effectue un rajustement en masse à l'aide d'un processus intuitif de déclaration détaillée de marchandises commerciales électronique par le biais du PCG ou de l'EDI. Marty n'a pas besoin de se soucier de la date limite parce qu'il reçoit immédiatement un accusé de réception de sa demande, ce qui protège les délais dont bénéficie Marty pour ces transactions.

Marty consulte le site Web de l'ASFC pour obtenir de l'information sur les décisions afin de présenter une demande de décision pour son client. Il attend de recevoir de la correspondance papier de l'ASFC, qui peut demander que d'autres documents lui soient fournis avant de poursuivre le processus. Comme dans le cas des appels, l'ASFC fournit de l'information limitée sur l'état d'avancement de ses décisions, de sorte qu'il lui est difficile de fournir des mises à jour sur l'état d'avancement à son client.

17h30

Par le biais du PCG, Marty accède à une base de données consultable sur les décisions pour obtenir les renseignements dont il a besoin et soumet sans mal les demandes de décision par voie électronique, en plus de pouvoir connaître leur état d'avancement. En outre, Marty utilise le Portail pour recevoir la correspondance de l'ASFC et joint des documents à l'appui à ses demandes, au besoin.



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

ÉBAUCHE

# Transporteurs

Canada

GCRA

Gestion des cotisations et  
des recettes de l'ASFC

# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

- PCG = Portail Client de la GCRA
- RC = Relevé de compte
- AMG = Autres ministères gouvernementaux
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- AGP = Agence gouvernementale participante
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

# Transporteurs

Ce document illustre l'impact de la GCRA sur le processus d'importation commerciale des transporteurs.

Maya Clarkson



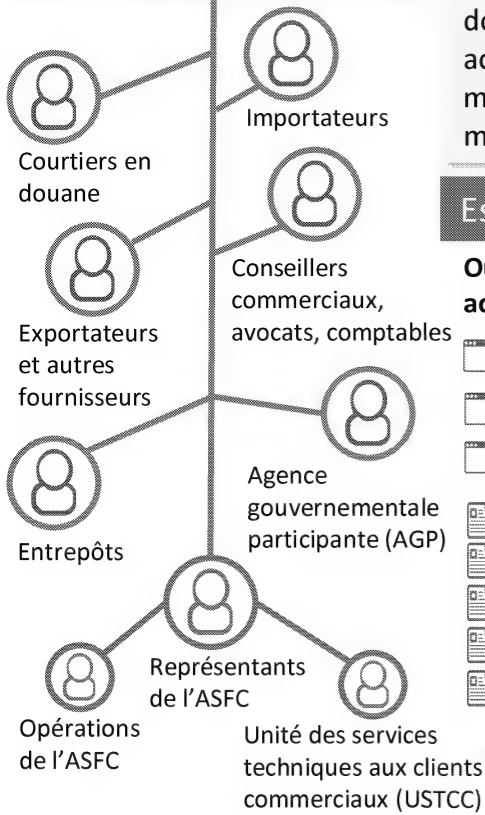
**Description**

Cette persona est représentative des entreprises qui facilitent l'importation de marchandises au Canada, ce qui comprend les transitaires, les transporteurs pour tous les modes de transport ainsi que les agents maritimes et d'expédition. Les transporteurs collaborent avec les importateurs et les courtiers en douane pour gérer de la manière la plus efficace possible la logistique et la livraison de marchandises sous douane aux clients. Cette persona ne représente pas les activités propres aux messageries d'envois de faible valeur, mais comprend d'autres activités pertinentes pour les messageries.

**Citation**

« La GCRA permettra aux transporteurs d'avoir accès à un portail libre-service qui améliorera la visibilité et la gestion des RSAP et des demandes de l'ASFC, tout en conservant la fonctionnalité d'EDI actuelle. »

## Relations



## Espace de travail

### Outils / Systèmes actuellement utilisés

- ☐ Sites Web de l'ASFC et des OGP
- ☐ EDI
- ☐ Portail du manifeste électronique
- 📄 Décisions du système CROSS des É.-U.
- 📄 Mémoires D
- 📄 Avis des douanes
- 📄 Gazette du Canada
- 📄 Publications commerciales

### Fonctionnalité du portail client de la GCRA (PCG)

- ▶ Délégation de pouvoirs
- ▶ Historique de conformité et correspondance
- ▶ Enregistrement et inscription au programme

- ▶ État de compte et paiement électronique
- ▶ Gestion des décisions et appels
- ▶ Paiements électroniques
- ▶ Gestion du RSAP

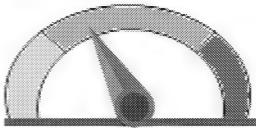
Bonjour, je m'appelle Donna et je suis un robot interactif

### Principales activités de la GCRA

- ☑ Webinaires de la GCRA
- ☑ Réunions des associations commerciales
- ☑ Projets pilotes de salle de conférence
- ☑ Séances « à micro ouvert » des PCC
- ☑ Communication de la GCRA (site Web, infographie, médias sociaux)

\*À titre indicatif seulement

## Information clé GCRA



### Niveau de transformation

#### Principaux changements

- Introduction de la gestion des renseignements des comptes de l'ASFC, des données RSAP, de la visualisation des RDC et de l'historique des transactions, via le PCG
- Méthodes de paiements électroniques supplémentaires (ex. Débit préautorisé (PAD))
- Nouveau modèle de sécurité financière fixé au niveau de l'importateur
- Instauration de la délégation de pouvoir par voie électronique pour l'accès à un compte d'importateur et la gestion de celui-ci dans le portail client de la GCRA
- Obligation de s'inscrire par voie électronique au programme de l'ASFC (c.-à-d. qu'il faut obtenir un BN15)
- Nouvelle capacité de gérer et de suivre les appels, par le biais du PCG

#### Principaux avantages

- ★ Capacité de s'enregistrer et de s'inscrire aux programmes de l'ASFC et gérer facilement les données de compte en temps réel dans le PCG.
- ★ Possibilité d'afficher l'état de compte, les frais commerciaux et d'effectuer des paiements électroniques, par le biais du PCG
- ★ Les capacités de gestion des versions permettront d'effectuer des ajustements postérieurs à l'entrée des déclarations de fret, par le biais du PCG ou de l'EDI.
- ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG.
- ★ Capacité à déléguer l'autorité aux prestataires de services tiers et des courtiers en douane, avec une disponibilité et une piste de vérification élargie dans leurs activités, par le biais du PCG
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations

## Une journée dans la vie de: Transporteurs

Pour entamer sa journée, Maya veut ajouter une entreprise de transitaire à son profil client existant et mettre à jour l'adresse d'un de ses autres fournisseurs de services de transport. Elle téléphone à l'ASFC pour mener ces tâches à bien. Maya veut en outre qu'un expert-conseil en commerce l'aide à mener ses activités de transporteur, et elle remplit les documents exigés pour que son expert-conseil en commerce puisse gérer ses importations commerciales.

Après sa pause-repas, Maya n'est pas certaine du montant qu'elle doit actuellement à l'ASFC ni du contenu de son avis quotidien. Pour obtenir ces renseignements, elle communique avec l'ASFC ou avec son fournisseur de services tiers ou les deux et consulte les renseignements qui figurent dans ses dossiers.

Avant de terminer sa journée, Maya introduit un recours relativement à un RSAP qu'elle a reçue, ce qui prend du temps, parce que le processus qu'utilise Maya exige qu'elle remplisse des formulaires papier. Elle doit chercher lequel de ses bureaux a reçu l'avis du RSAP afin de rassembler les renseignements nécessaires pour soumettre un recours. Comme l'ASFC ne lui donne qu'une information limitée sur l'état d'avancement de ces demandes, elle doit attendre la réponse de l'ASFC pour savoir quel est l'état d'avancement de sa demande relative au RSAP.

8h00

12h30

17h30



Par le biais du PCG, Maya obtient des BN15 pour son transporteur et ses nouvelles entreprises d'expédition de fret, en tirant parti d'un processus d'inscription électronique. Maya met facilement à jour l'adresse de son entreprise de transport par le biais du portail. Après que l'autorisation légale a été accordée, Maya délègue à son expert-conseil en commerce le pouvoir de gérer son compte du PCG en son nom, ce qui lui donne accès à des processus particuliers, comme les appels.

Maya ouvre une session dans le PCG et consulte toutes les transactions qui figurent dans son compte, dont les relevés de comptes. Maya et son fournisseur de services tiers sont en mesure de consulter le portail pour déterminer si les paiements ont été bien attribués. Pour terminer, par le biais du portail, Maya acquitte facilement par paiement électronique la somme due à l'ASFC si elle préfère gérer elle-même les paiements (elle peut toutefois activer la fonction de paiement automatique).

Au moyen du PCG, Maya peut sans mal trouver les renseignements concernant les avis du RSAP par voie électronique, présenter sa demande d'appel et consulter l'état d'avancement de sa demande, qui est clairement indiqué. Maya peut joindre des documents à ses demandes, recevoir des communications de l'ASFC par voie électronique et répondre à des demandes relatives à la conformité par le biais du portail, s'il y a lieu.



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

# Fournisseurs de logiciels

Canada

GCRA

Gestion des cotisations et  
des recettes de l'ASFC

# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- EDI = Échange de données informatisées
- AGP = Agence gouvernementale participante
- DECCE = Document sur les exigences à l'égard des clients du commerce électronique
- Les entreprises intermédiaires comprennent les transporteurs, les messagers, les transitaires et les entrepôts

# Fournisseurs de logiciels

Ce document illustre l'impact de la GCRA sur le processus d'importation commerciale des **fournisseurs de logiciels**.

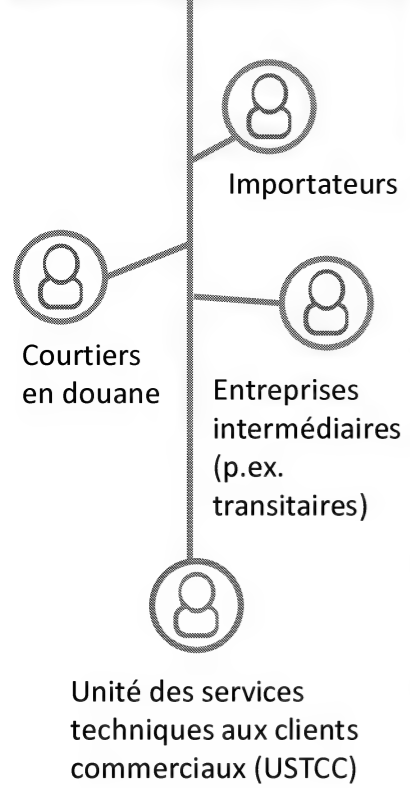
Information clé GCRA

EBAUCHE

Andy Coughlin



## Relations



## Description

Faisant partie des fournisseurs de logiciels agréés par l'ASFC, les entreprises qui fournissent des solutions logicielles aux partenaires de la chaîne commerciale, dont les clients de l'Échange de données informatisé (EDI) et du Programme d'autocotisation des douanes (PAD). Les fournisseurs de logiciels veillent à ce que la circulation de l'information se fasse sans heurts, et contribuent ainsi à la capacité de leurs clients de se conformer aux exigences de l'ASFC et d'importer des marchandises au Canada en n'occasionnant que des incidences minimales sur les opérations.

## Citation

« La GCRA a simplifié le processus de gestion des comptes électroniques et réduit le fardeau administratif, tout en conservant la fonctionnalité principale de l'EDI. »

## Espace de travail

### Outils / Systèmes actuellement utilisés

- ☐ Sites Web de l'ASFC et des OGP
- ☐ Portail du manifeste électronique
- ☐ EDI
- 📄 DECCE
- 📄 Gazette du Canada
- 📄 Publications commerciales

### Fonctionnalité du portail client de la GCRA (PCG)

- ▶ Délégation de pouvoirs
- ▶ État de compte
- ▶ Historique de conformité et correspondance
- ▶ Enregistrement et inscription au programme

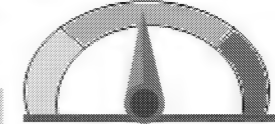
- ▶ Outil de classification et de calcul des tarifs du SH
- ▶ Gestion des décisions/appels/RSAP/vérifications
- ▶ Paiements électroniques
- ▶ DDC numériques assorties de rajustements après l'entrée

Bonjour, je m'appelle Donna et je suis un robot interactif.

\*À titre indicatif seulement

### Principales activités de la GCRA

- ☑ Webinaires de la GCRA
- ☑ Réunions des associations commerciales
- ☑ Projets pilotes de salle de conférence
- ☑ Séances « à micro ouvert » des PCC
- ☑ Communication de la GCRA (site Web, infographie, médias sociaux)



## Niveau de transformation

### Principaux changements

- Introduction à la délégation de pouvoirs électronique pour accéder et exploiter un compte d'importateur dans le PCG
- Méthodes de paiements électroniques supplémentaires dans le PCG (ex. Débit préautorisé (PAD))
- Obligation de s'inscrire par voie électronique au programme de l'ASFC (c.-à-d. qu'il faut obtenir un BN15)
- Être disponible pour présenter des déclarations en détail de marchandises commerciales, apporter des corrections, effectuer des redressements après l'entrée et des rajustements en masse, par le biais du portail client de la GCRA (PCG)

### Principaux avantages

- Les clients des fournisseurs de logiciels bénéficieront les avantages suivants:**
- ★ Capacité de déléguer l'autorité aux prestataires de services tiers et des courtiers en douane, avec une visibilité et une piste de vérification élargie dans leurs activités, par le biais du PCG.
  - ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC et gérer facilement les données de compte, par le biais du PCG.
  - ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations.
  - ★ Capacité de gérer un simple processus de déclaration comptable commerciale avec des capacités de versions, via le biais du PCG ou l'EDI.
  - ★ Conservation des capacités actuelles de l'EDI et amélioration de la fonctionnalité des processus fondés sur le PCG.
  - ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG.

## Une journée dans la vie de: Fournisseurs de logiciels



Après avoir vérifié son courriel, Andy commence sa journée en inscrivant son nouveau fournisseur de logiciels à l'ASFC, et il correspond à cette fin avec l'Agence au moyen d'un processus papier. Il doit consacrer beaucoup de temps et d'efforts pour échanger de la correspondance avec l'ASFC afin d'obtenir l'accréditation de son entreprise au moyen d'un processus papier.

8h30



Parce qu'il utilise le PCG, Andy doit obtenir un numéro BN15. Andy suit un processus électronique simplifié pour faire accréditer son entreprise de fournisseur de logiciels auprès de l'ASFC, en utilisant la correspondance électronique offerte pour fournir la documentation et les renseignements supplémentaires exigés pour satisfaire aux exigences du programme en matière d'accréditation. Finalement, Andy travaille avec ses clients pour obtenir par délégation le pouvoir dans le PCG afin de pouvoir envoyer et recevoir des données d'importation de l'ASFC pour leur compte.

16h30

Au moment où Andy termine sa journée, il apprend que ses clients doivent présenter leurs décisions et demandes d'appel à l'ASFC en utilisant un processus sur papier. Andy aimerait aider ses clients et créer une solution logicielle pour traiter ces demandes, mais il ne peut pas le faire parce que l'ASFC n'accepte pas ces demandes par voie électronique.

Dans le cadre de la GCRA, l'ASFC accepte les demandes de décision et d'appel présentées par voie électronique. Par conséquent, Andy et son équipe comptent créer une nouvelle solution qui englobe ces demandes, et ils travaillent avec l'ASFC afin de certifier cette nouvelle fonctionnalité auprès de l'Agence à l'avenir.



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

ÉBAUCHE

Importateurs n'utilisant  
pas les services d'un  
courtier en douane  
(volume élevé)

Canada

GCRA

Gestion des cotisations et  
des recettes de l'ASFC

# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- EDI = Échange de données informatisées
- AGP = Agence gouvernementale participante
- SH= Système harmonisé de désignation et de codification des marchandises
- Les entreprises intermédiaires comprennent les transporteurs, les messagers, les transitaires et les entrepôts
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

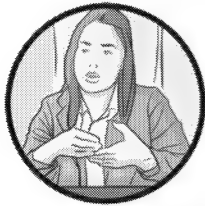
# Importateurs n'utilisant pas les services d'un courtier en douane (volume élevé)

Ce document illustre l'impact de la GCRA sur le processus d'importation commerciale des importateurs n'utilisant pas les services d'un courtier en douane (volume élevé).

## Information clé GCRA

ÉBAUCHE

Jeanie Carr



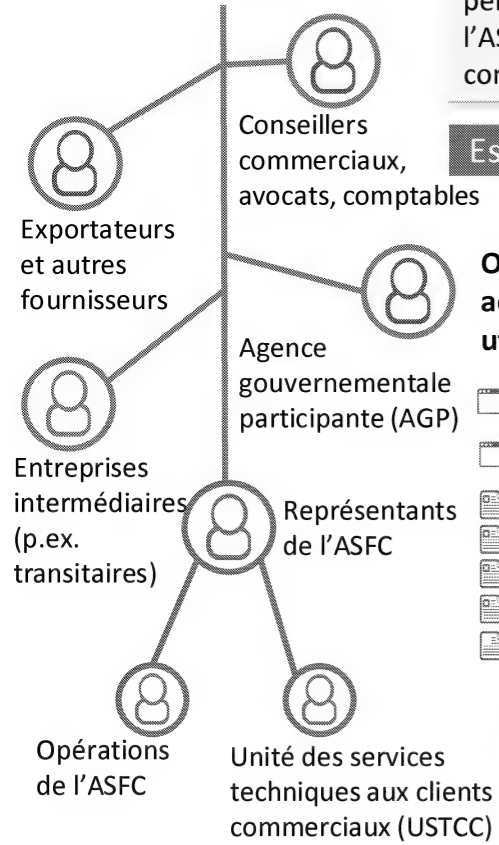
**Description**

Cette persona est représentative des importateurs qui gèrent eux-mêmes leurs importations de marchandises et qui transigent directement avec l'ASFC, sans avoir recours aux services d'un courtier en douane. Aux fins de cette persona, le qualificatif « volume élevé » correspond à des importateurs qui importent des marchandises pour lesquelles les taxes et les droits de douane sont supérieurs à 50 000 \$ par mois. Cette persona a une très bonne compréhension des processus de l'ASFC et agit comme acteur averti dans l'écosystème commercial.

**Citation**

« La GCRA offrira une transparence et un contrôle accrus du processus d'importation grâce à l'accès à des outils en libre-service qui simplifieront l'autogestion des importations. »

### Relations



### Espace de travail

#### Fonctionnalité du portail client de la GCRA (PCG)

##### Outils / Systèmes actuellement utilisés

- Sites Web de l'ASFC et des OGP
- EDI
- Formulaires
- B2/B3
- Mémoires D
- Avis de douane
- Gazette du Canada
- Rapports FIRM

▶ Délégation de pouvoirs

▶ État de compte

▶ Antécédents de conformité et correspondance

▶ Enregistrement et inscription au programme

▶ Outil de classification du SH et de calcul tarifaire

▶ Gestion des décisions/appels/RSAP/vérifications

▶ Paiements électroniques

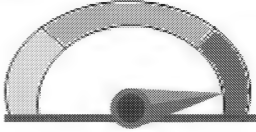
▶ DDC numériques assorties de rajustements après l'entrée

##### Principales activités de la GCRA

- Webinaires de la GCRA
- Réunions des associations commerciales
- Projets pilotes de salle de conférence
- Séances « à micro ouvert » des PCC
- Communication de la GCRA (site Web, infographie, médias sociaux)

Bonjour, je m'appelle Donna et je suis un robot interactif.

\*À titre indicatif seulement



### Niveau de transformation

#### Changements principaux

- Nouvelle capacité de gérer les appels, les décisions, les RSAP et les vérifications des échanges commerciaux au moyen du portail client de la GCRA
- Nouvelles dates harmonisées de facturation et d'échéance du paiement, assorties d'une période de correction exempte d'intérêt à partir de la présentation de la déclaration en détail commerciale (DDC) jusqu'à la date d'échéance du paiement
- Méthodes de paiements électroniques supplémentaires (ex. Débit préautorisé (PAD))
- Introduction de la gestion des renseignements des comptes de l'ASFC, des données RSAP, de la visualisation des RDC et de l'historique des transactions, via le PCG
- Établissement d'un nouveau modèle de sécurité financière sur le plan de l'importateur
- Être disponible pour présenter des déclarations en détail de marchandises commerciales, apporter des corrections, effectuer des redressements après l'entrée et des rajustements en masse, par le biais du portail client de la GCRA (PCG) et de l'échange de données informatisé (EDI)
- Accès à un outil en ligne de calcul des tarifs et à une base de données interrogeable sur les décisions.

#### Principaux avantages

- ★ Capacité de déléguer l'autorité aux prestataires de services tiers et des courtiers en douane, avec une visibilité et une piste de vérification élargie dans leurs activités, par le biais du PCG.
- ★ Capacité de visualiser RDC, les frais commerciaux et de surveiller la sécurité financière en temps réel via le PCG et d'effectuer des paiements électronique
- ★ Capacité de présenter des demandes à l'ASFC et d'en faire le suivi de façon plus transparente, dont les appels, les rajustements et le RSAP, par le biais du PCG.
- ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC et gérer facilement les données de compte, par le biais du PCG.
- ★ Capacité de gérer un simple processus de déclaration comptable commerciale avec des capacités de versions, via le biais du PCG ou l'EDI.
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations.

## Une journée dans la vie de: Importateurs n'utilisant pas les services d'un courtier en douane (volume élevé)



Jeanie a embauché un nouveau conseiller en commerce, et elle passe la matinée à correspondre avec l'ASFC pour remplir les documents nécessaires pour que l'expert-conseil en commerce puisse traiter avec l'ASFC pour son compte.

8h30



Après que l'autorisation légale a été accordée, Jeanie utilise un processus électronique intuitif pour déléguer à son expert-conseil en commerce le pouvoir de gérer son compte du PCG en son nom. Ainsi, son expert-conseil en commerce pourra gérer, dans le portail, quelques volets essentiels du processus d'importation suivi par Jeanie, qui ont trait aux déclarations en détail de marchandises commerciales, aux rajustements après importation, aux vérifications de la conformité, aux décisions et aux appels.

Après avoir rapproché ses comptes, Jeanie veut porter en appel un RSAP dont elle a écopé, ce qui prend beaucoup de temps parce que ce processus se fait sur papier. Elle doit découvrir quel bureau de son entreprise a reçu l'avis papier du RSAP qui lui est destiné afin de réunir les renseignements dont elle a besoin pour présenter un appel, et elle a peu d'information sur l'état d'avancement de ces demandes.

13h00

Par le biais du PCG, Jeanie peut sans mal trouver les renseignements relatifs à l'avis du RSAP par voie électronique, porter la sanction en appel et suivre l'état d'avancement de sa demande, qui est clairement indiqué. Jeanie peut joindre des documents électroniques à ses demandes, recevoir des communications de l'ASFC et réagir à des mesures de conformité par le biais du portail, s'il y a lieu.

Jeanie veut rapprocher ses comptes et connaître le montant que son entreprise doit à l'ASFC ainsi que le montant de sa garantie qui est actuellement utilisé. Pour confirmer ces renseignements, elle communique avec des représentants de l'ASFC.

11h00

Jeanie utilise le PCG et consulte tout l'historique des transactions ainsi que le RC pour son entreprise. Elle vérifie en outre, en temps réel, le solde disponible du dépôt de garantie et reçoit des avis quand la limite est presque atteinte.

Jeanie souhaite demander les avantages afférents à l'ALENA pour un grand nombre de transactions effectuées l'année précédente. Comme la date limite prévue par la loi pour le rajustement de ces transactions approche, elle remplit un « formulaire B2 général » papier pour demander les changements. Elle n'est pas certaine que l'ASFC lui renverra le formulaire d'autorisation papier à temps, et elle craint de perdre la possibilité de recevoir des remboursements pour quelques-unes de ses anciennes transactions.

17h00

À l'aide d'un processus intuitif de déclaration en détail de marchandises commerciales électronique, Jeanie effectue rapidement une demande de rajustement en masse avant de quitter le bureau, par le biais du PCG ou de l'EDI. Elle n'a pas besoin de se soucier de la date limite, car elle reçoit immédiatement un accusé de réception de sa demande, ce qui fait que les rajustements nécessaires sont considérés comme admissibles avant l'échéance prévue par la loi.



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# Importateurs n'utilisant pas les services d'un courtier en douane (faible volume)

Canada

GCRA

Gestion des cotisations et  
des recettes de l'ASFC

# Contexte et objectif du document

- Une persona représente un regroupement d'intervenants basé sur des données réelles de la population et des recherches en personne. Ils décrivent les objectifs, les motivations, les défis et les interactions des intervenants ainsi que leur relation avec l'ASFC.
- Une entreprise peut effectuer une variété de services d'importation et peut être représentée par **plusieurs personas**.

## Légende:

- PCG = Portail Client de la GCRA
- DDC = Déclaration en détail commerciale
- MDM = Mainlevée contre documentation minimale
- Les opérations de l'ASFC comprennent des agents des services frontaliers, des agents principaux de l'observation des échanges commerciaux (APOEC) (ce qui comprend les agents des décisions et les agents de vérification)
- RC = Relevé de compte
- AGP = Agence gouvernementale participante
- SH= Système harmonisé de désignation et de codification des marchandises
- Les autres fournisseurs comprennent des entreprises telles que les fournisseurs, les fabricants, etc.

# Importateurs n'utilisant pas les services d'un courtier en douane (faible volume)

Ce document illustre l'impact de la GCRA sur le processus d'importation commerciale des importateurs n'utilisant pas les services d'un courtier en douane (faible volume).

Information clé GCRA



Niveau de transformation

Joe Fischer

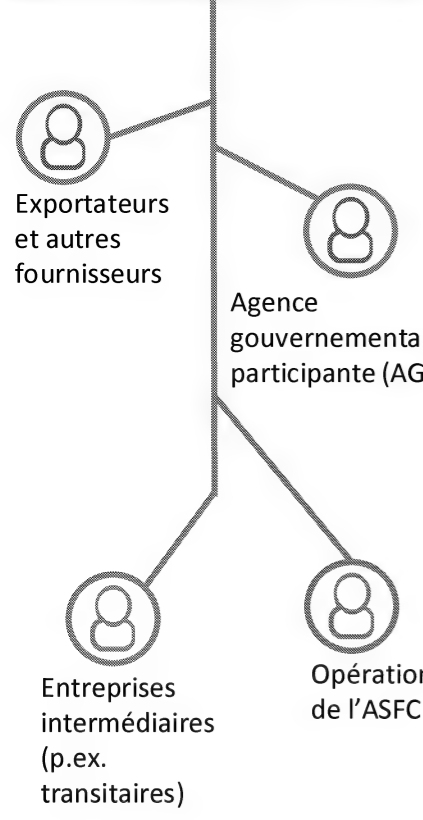
Description

Citation

## Principaux changements

- Nouvelles dates harmonisées de facturation et d'échéance du paiement, assorties d'une période de correction exempte d'intérêt à partir de la présentation de la déclaration en détail commerciale (DDC) jusqu'à la date d'échéance du paiement
- Méthodes de paiement électronique supplémentaires [p. ex. débit préautorisé (DPA)]
- Instauration de la gestion des renseignements sur les compte de l'ASFC, données du RSAP, consultation du RC et de l'historique des transactions, par le biais du PCG
- Établissement d'un nouveau modèle de sécurité financière sur le plan de l'importateur
- Instauration de la gestion des déclarations en détail de marchandises commerciales par le biais du PCG (comprend les rajustements après l'entrée et les rajustements en masse)
- Nouvel outil de classification du SH et de calcul tarifaire par le biais du PCG

## Relations







Cette persona est représentative des importateurs qui gèrent eux-mêmes leurs importations de marchandises et qui transigent directement avec l'ASFC, sans avoir recours aux services d'un courtier en douane. Aux fins de cette persona, le qualificatif « volume élevé » correspond à des importateurs qui importent des marchandises pour lesquelles les taxes et les droits de douane sont supérieurs à 50 000 \$ par mois. Cette persona a une très bonne compréhension des processus de l'ASFC et agit comme acteur averti dans l'écosystème commercial.

« La GCRA permettra d'avoir accès à des outils en libre-service qui simplifieront les processus et faciliteront le respect des exigences, ce qui aura pour effet de faciliter la gestion des importations. »

## Espace de travail

Outils / systèmes actuellement utilisés

-  Sites Web de l'ASFC et des OGP
-  Formulaires B2/B3
-  Mémos D
-  Avis des douanes

Fonctionnalité du portail client de la GCRA (PCG)

- ▶ État de compte
- ▶ Historique de la conformité et correspondance
- ▶ Enregistrement et inscription au programme

- ▶ Outil de classification du SH et de calcul tarifaire
- ▶ Gestion des décisions / appels / RSAP / vérifications
- ▶ Paiements électroniques
- ▶ DDC numérique assorties de rajustements après l'entrée et en masse

Principales activités de la GCRA

- ☒ Webinaires de la GCRA
- ☒ Réunions des associations commerciales
- ☒ Projets pilotes de salle de conférence
- ☒ Séances « à micro ouvert » des PCC
- ☒ Communication de la GCRA (site Web, infographie, médias sociaux)

Bonjour, je m'appelle Donna et je suis un robot interactif.

\*À titre indicatif seulement

## Principaux avantages

- ★ Capacité de gérer un processus de déclaration commerciale comptable simple avec des capacités de gestion de versions, via le PCG
- ★ Capacité de visualiser RDC, les frais commerciaux et de surveiller la sécurité financière en temps réel via le PCG et d'effectuer des paiements électroniques
- ★ Capacité de tirer parti des outils en libre-service, comme les outils de classification du SH et de calcul des tarifs, pour faciliter la conformité à l'ASFC.
- ★ Capacité de s'enregistrer et de s'inscrire à des programmes de l'ASFC et gérer facilement les données de compte en temps réel, via le PCG .
- ★ Disponibilité d'un robot interactif pour répondre aux questions sur les importations.

## Une journée dans la vie: Importateurs n'utilisant pas les services d'un courtier en douane (faible volume)

⚡ Joe a ouvert un magasin d'articles de sport et il cherche à faire enregistrer son commerce et à l'inscrire auprès de l'ASFC. Joe trouve qu'il est difficile de déterminer quels formulaires il doit remplir et quels renseignements il doit fournir à l'Agence.

★ En utilisant le PCG, Joe est en mesure de comprendre sans mal quels sont les renseignements qu'il doit fournir pour s'enregistrer électroniquement et s'inscrire auprès de l'ASFC. Joe peut en outre actualiser facilement les renseignements figurant dans son compte client, n'importe quand, par le biais du portail.

14h00 Après avoir présenté les déclarations pour les transactions de la journée, Joe essaie de mieux comprendre le montant qu'il doit actuellement à l'ASFC afin d'effectuer un paiement par chèque ou par dépôt direct par l'entremise de son institution financière.

Au moyen du PCG, Joe obtient la liste complète de ses transactions et consulte son RC, dont il peut payer le solde de façon électronique, par carte de crédit ou par dépôt direct. Dans le cadre de la GCRA, Joe a auprès de l'ASFC son propre dépôt de garantie dont il peut effectuer le suivi en temps réel, et il peut recevoir des avis quand son entreprise approche de la limite de la garantie.

Joe cherche à acheter des articles de sport et suit un processus sur papier laborieux pour remplir ses formulaires MDM et B3. Joe a du mal à comprendre les exigences afférentes aux importations et les règles de classification, ainsi que la façon de bien calculer les tarifs douaniers qu'il devra payer. Il consulte les sites Web de l'ASFC et d'OGP pour trouver les renseignements dont il a besoin.

12h00

Après avoir rempli la MDM, Joe utilise le PCG pour remplir sa déclaration en détail de marchandises commerciales au moyen d'un processus électronique simple. Il utilise un outil de classification du SH qui lui permet de classer ses marchandises avec plus de précision, ainsi qu'un calculateur tarifaire automatisé. Tout au long de ce processus, Joe peut utiliser le robot interactif pour poser des questions sur le processus d'importation.

Au moyen du PCG, Joe obtient la liste complète de ses transactions et consulte son RC, dont il peut payer le solde de façon électronique, par carte de crédit ou par dépôt direct. Dans le cadre de la GCRA, Joe a auprès de l'ASFC son propre dépôt de garantie dont il peut effectuer le suivi en temps réel, et il peut recevoir des avis quand son entreprise approche de la limite de la garantie.

17h30

Par le biais du PCG, Joe apporte rapidement des corrections par voie électronique à ses déclarations. Par ailleurs, Joe ne s'inquiète pas de devoir traiter ses corrections dans un délai de déclaration de cinq jours, parce qu'il y a maintenant une période de correction exempte d'intérêts à partir de la date de soumission de la DDMC jusqu'à la date d'échéance du paiement.



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# CARM Trade Chain Partner Personas

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# Customs Brokers

Canada

**CARM** | CBSA Assessment and  
Revenue Management

# Document Context and Purpose

- A persona represents a grouping of stakeholders based on real-world data and in-person research. They describe the goals, motivations, challenges, and interactions of stakeholders along with their relationship with the CBSA.
- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- EDI = Electronic Data Interchange
- PGA = Participating Government Agency
- SOA = Statement of Account
- DN = Daily Notice
- CARL = Customs Automated Reference Library
- EARL = Excise Automated Reference Library
- AMPS = Administrative Monetary Penalty System
- Intermediary Businesses include Carriers, Couriers, Freight Forwarders, and Warehouses
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

## Customs Brokers

Clyde Martinez



### Relationships



#### Non-CBSA relationships

- Importers
- Participating Government Agencies
- Intermediary Businesses (e.g., Freight Forwarders)
- Sureties
- Exporters and Other Vendors



#### CBSA relationships

- Technical Commercial Client Unit (TCCU)
- Trade Policy and Recourse
- CBSA Operations

### Description

This persona represents licensed customs brokers who help clients get their shipments released at point of arrival and accounted for, ensuring a compliant and seamless movement of goods. Characteristics of customs brokers include:

- **Manage all key business data and transmission** of data for clients
- **Act on behalf of clients** to transact business with the CBSA
- **Represented by associations**, such as the Canadian Society of Customs Brokers (CSCB) and the International Federation of Customs Brokers Associations (IFCBA), or may be **independent**

### Workspace

#### CARM Client Portal (CCP) Functionality

##### Portal Functionality

- ▶ Business number registration and program enrolment
- ▶ Digital CADs with correction and adjustments
- ▶ Statement of account and electronic payment
- ▶ Management of rulings, appeals, verifications and view AMPS

*This document illustrates how CARM will impact the commercial importation process for Customs Brokers.*

### Quote

*"Customs brokers will be able to service their clients with real-time data, and increased visibility into the commercial importation process."*

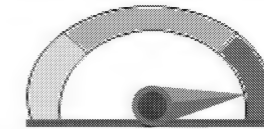
### Key Changes

- › Ability to manage appeals, rulings, and trade verifications through the portal
- › New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date
- › Introduction of the management of CBSA account information, AMPS data, viewing of SOA and transaction history, through the CCP
- › Requirement for financial security at importer level for release prior to payment privileges
- › New commercial accounting declaration management (including correction and adjustment periods)
- › New HS classification tool and automated tariff calculator, through the portal

### Key Benefits

- ★ Access and manage client account data in real-time, including all transactional data (note: client must have delegated access)
- ★ Submit and track requests made to the CBSA, including appeals, adjustments, and trade verifications
- ★ View appeals, adjustments, trade verifications, and AMPS
- ★ Revised billing cycle will provide more time to make interest-free corrections
- ★ Access the online tariff calculation tool and a searchable rulings database
- ★ Added flexibility and speed when interacting with clients with due to the availability of the CCP to both parties

### CARM Key Information



**Transformation  
Level: High**

DRAFT

# A Day in the Life: Customs Brokers

## Current State

- ⚡ At the beginning of the day, Clyde is spending his morning working with his client to successfully complete the required documentation to act on their behalf.
- ⚡ The legislative deadline for adjusting a large series of his client's transactions is approaching. Clyde submits a paper 'blanket B2' form. He is worried that the CBSA may not send the paper authorization form back in time, and will lose the opportunity to collect refunds for some of transactions.
- ⚡ Clyde's client wants to appeal a penalty they received. Clyde works with the client to acquire a hardcopy record of their penalty notice. After receiving and reviewing the notice, he submits the request via a paper process. The CBSA provides a limited visibility into the status of his appeal, so it's challenging for Clyde to provide useful status updates to his client.
- ⚡ Before leaving for the day, one of Clyde's clients presents updated product information related to a series of transactions that were submitted 5 business days ago. Clyde must urgently change these transactions before confirming the entries by the 5-day deadline, or else he will have to populate a paper B2 form and incur interest on these transactions.

## Future State

- ★ Clyde works with his client to gain delegated authority to their portal account. Now, Clyde has the access to perform key import activities on his client's behalf, such as submitting commercial accounting declarations, making corrections and adjustments, requesting rulings, submitting appeals and activities related to a trade verification.
- ★ Clyde makes a mass-adjustment using the CARM Client Portal. He is not constrained by time because he receives instant acknowledgement that his request was received. This ensures that the adjustments required will be considered eligible before the legislative deadline passes.
- ★ Using the portal, Clyde has access to his client's administrative monetary penalty (AMP) notice and other key import documentation. Clyde refers to the notice and easily submits his AMP appeal request electronically. Clyde is able to track the progress and receive correspondence via the portal, when supporting documentation is required, he can attach it to his request electronically.
- ★ Under CARM, Clyde quickly makes interest-free electronic corrections to these transactions at any point between the CAD submission date and the payment due date.





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# Importers who use a Customs Broker

Canada

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# Document Context and Purpose

- A persona represents a grouping of stakeholders based on real-world data and in-person research. They describe the goals, motivations, challenges, and interactions of stakeholders along with their relationship with the CBSA.
- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

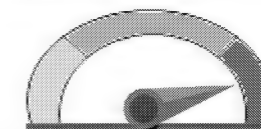
- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- RMD = Release on Minimum Documentation
- SOA = Statement of Account
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- EDI = Electronic Data Interchange
- PGA = Participating Government Agency
- AMPS = Administrative Monetary Penalty System
- Intermediary Businesses include Carriers, Couriers, Freight Forwarders, and Warehouses
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

## Importers who use a Customs Broker

*This document illustrates how CARM will impact the commercial importation process for Importers who use a Customs Broker.*

### CARM Key Information

DRAFT



**Transformation  
Level: High**

Ron Carter



### Description

This persona represents importers who choose to use the services of a customs broker to support and/or account for their imported goods and transact business with the CBSA on their behalf. CARM will allow this persona to experience heightened visibility and control over their importing process and data.

### Quote

“CARM will give importers access to a self-service portal that will give them more visibility and control over their imports and data, as well as the processes occurring afterwards.”

### Key Changes

- › Ability to manage appeals, rulings, and trade verifications through the portal
- › New electronic payment methods (e.g. Pre-Authorized Debit (PAD))
- › Introduction of the management of CBSA account information, AMPS data, viewing of SOA and transaction history, through the CCP
- › Introduction of electronic delegation of authority which provides third party access to an Importer's CCP account to conduct business on their behalf
- › Requirement for financial security at importer level for release prior to payment privileges
- › New commercial accounting declaration management (including correction and adjustment periods)

### Key Benefits

- ★ Ability to delegate authority for the CCP to third-party service providers and customs brokers with an expanded visibility and audit trail into their activities
- ★ Ability to manage a simplified commercial accounting declaration process with versioning capabilities
- ★ Ability to view SOA, AMPS, and monitor financial security in real-time, and make electronic payments.
- ★ Submit and track requests made to the CBSA, including appeals, adjustments, and trade verifications
- ★ Register/enroll into CBSA programs and easily manage real-time account data

### Relationships



#### Non-CBSA relationships

- Importers
- Customs Brokers
- Trade Consultants, Lawyers, Accountants
- Participating Government Agencies
- Exporters and Other Vendors
- Intermediary Businesses (e.g., Freight Forwarders)
- Sureties



#### CBSA relationships

- CBSA Operations

### Workspace

#### CARM Client Portal Functionality

##### Portal Functionality

- ▶ Delegation of Authority
- ▶ HS Classification and Tariff calculation Tool
- ▶ Statement of Account
- ▶ Electronic Payments
- ▶ Compliance History and Correspondence
- ▶ Manage rulings, appeals, verifications, and view AMPS
- ▶ Business number registration & program enrolment
- ▶ Digital CADs with correction and adjustment

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\*\*\* Concepts are provided for discussion and are subject to change. Do not distribute. \*\*\*

# A Day in the Life: Importers who use a Customs Broker

## Current State

- ⚡ To start his day, Ron is working with his new customs broker and trade consultant to complete the required documentation, allowing his service providers to manage the commercial importations for his company.
- ⚡ Ron is finding it difficult to acquire a full list of his importing transaction history, including his current debt to the CBSA. Reconciling his accounts is onerous, since he has multiple payment due dates to manage. Ron has to ask his customs broker to provide him with this information.
- ⚡ After eating lunch, Ron receives an urgent request to import goods into Canada. He is stressed, scrambling to provide the required information to his customs broker, and worried his goods won't be cleared by the end of the day.
- ⚡ After dealing with his urgent import, Ron wants to verify the actions of the third-party service providers with delegated authority. He would also like to check the status of a few key rulings and appeals he has outstanding. Ron is challenged because he has limited visibility into his service provider's activities, or any tasks they are conducting on his behalf.

## Future State

- ★ Upon granting the legal authorization, Ron delegates authority to his third-party service providers to operate Ron's portal account on his behalf. Depending on the access granted they will be able to manage key aspects of Ron's imports in the portal, including commercial accounting declarations, post-entry adjustments, trade verifications, rulings, and appeals.
- ★ Ron logs into the portal and easily gathers a full picture of his CBSA account, including the ability to download his transaction history and statement of account. With CARM's harmonized billing and payment due dates his administrative burden is reduced.
- ★ Upon completing the release documentation, Ron completes his commercial accounting declaration himself, through the portal. In the portal, Ron sees that he has sufficient importer security bond coverage. He is comforted knowing that he will be notified when his company is nearing its bond limit, and will be able to make an interim electronic payment to cover the shipment.
- ★ Using the portal, Ron has visibility into the activities of the third-party service providers and customs brokers he has delegated authority to, allowing him to confirm that his imports are being managed as expected. This includes any ruling, appeal, or trade verification that a third-party service provider can manage on his behalf.



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# Trade Service Advisors

Canada

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# Document Context and Purpose

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## Legend:

- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- EDI = Electronic Data Interchange
- PGA = Participating Government Agency
- SOA = Statement of Account
- DN = Daily Notice
- HS = Harmonized Commodity Description and Coding System
- CARL = Customs Automated Reference Library
- EARL = Excise Automated Reference Library
- AMPS = Administrative Monetary Penalty System
- Intermediary Businesses include Carriers, Couriers, Freight Forwarders, and Warehouses
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

# Trade Service Advisors

This document illustrates how CARM will impact the commercial importation process for **Trade Service Advisors**.

CARM Key Information



Transformation Level

DRAFT

Marty Bull



## Relationships



### Non-CBSA relationships

- Importers
- Participating Government Agencies
- Intermediary Businesses (e.g., Carriers)
- Exporters and Other Vendors



### CBSA relationships

- Trade Policy and Recourse
- CBSA Operations

Description

Trade service advisors transact business with the CBSA on behalf of their clients. They provide a variety of consulting services to their clients that allow them to manage their imports and exports with optimal efficiency. Characteristics of trade service advisers include:

- They **educate their clients**, helping them interpret regulatory requirements in business terms. Their key areas of focus include managing post-entry adjustments for the valuation, classification, and origin of goods.
- They **help clients manage their compliance activities** with the CBSA, including rulings, appeals, and trade verifications.
- They include **trade consultants, trade lawyers, and accountants**. They serve as subject matter experts on trade committees.

Workspace

CARM Client Portal (CCP) Functionality

Portal Functionality

- ▶ Digital CADs with correction and adjustment ability
- ▶ Business number registration and program enrolment
- ▶ Statement of account and electronic payment
- ▶ Manage rulings, appeals, verifications, and view AMPS

Quote

“CARM will enable trade service advisors to provide an improved client experience by simplifying the post-entry adjustments, increasing visibility and facilitating key facets of the commercial importation process.”

Key Changes

- New capability to manage appeals, rulings, AMPS, and trade verifications through the CCP
- New financial security model set at the Importer-level
- Submit post-entry declaration adjustments and mass-adjustments, using the CCP or EDI
- New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date
- Introduction of electronic delegation of authority to access and operate an Importer’s account in the CCP
- Requirement to electronically enroll in CBSA program (i.e. must acquire a BN15)

Key Benefits

- ★ Gather and manage client account data in real-time, including all transactional data that the client has delegated access to
- ★ Versioning and document management capabilities enabling more efficient management of post-entry declaration adjustments, through the CCP or EDI
- ★ Answer all your importing questions using the ChatBot
- ★ Access to an online tariff calculation tool and a searchable rulings database
- ★ Submit and track requests made to the CBSA with increased visibility, including appeals, adjustments, and trade verifications
- ★ Added flexibility and speed when interacting with clients, due to the availability of the CCP accessible to both parties
- ★ Register and enroll into CBSA programs

# A Day in the Life: Trade Service Advisor

## Current State

- ⚡ To start his day, Marty is working with a new importer to complete the required documentation to transact business with the CBSA on their behalf.
- ⚡ The legislative deadline for adjusting a large series of client transactions is approaching. Marty populates a **paper 'blanket B2'** form and submits it to the CBSA for approval. This may take a **significant amount of time** to be approved by the CBSA, so Marty is **worried his client will lose the opportunity to collect refunds** for some of their older transactions.
- ⚡ Marty's client wants to appeal an administrative monetary penalty (AMP) from the CBSA. He contacts the client to acquire the hardcopy record of their penalty notice. Upon receiving and reviewing the notice, Marty submits the request via a **paper process**. The CBSA provides a **limited amount of visibility into the status of his appeal**, so it's **challenging for Marty to provide useful status updates** to his client.
- ⚡ Marty consults the CBSA website for information in order to submit a ruling request for his client. He **waits to receive paper correspondence from the CBSA**, who may ask for further documentation before the process continues. Similar to appeals, the CBSA provides a **limited amount of visibility into the status of his rulings**, so he is **challenged to provide status updates** to his client.

## Future State

- ★ Upon obtaining the legal authorization with his client, Marty acquires a BN15 for his trade service advisor business with the CBSA. Next, he uses an **intuitive electronic process to acquire delegated authority** to operate his client's CCP account on their behalf.
- ★ Marty makes a **mass-adjustment using an intuitive electronic commercial accounting declaration process** using the CARM Client Portal, or EDI. Marty is not constrained by time because he receives **instant acknowledgement** that his request was received, thereby protecting Marty's time limits related to these transactions.
- ★ Through the portal, Marty has **access to his client's penalty notices and other key import documentation**. Marty reviews the notice and easily submits his request to appeal the AMP electronically. Marty receives correspondence from the CBSA in the portal, and attaches supporting documentation to his appeal request and follows the status of the request via the portal.
- ★ Using the portal, Marty **searches the rulings database to acquire the information he needs, and easily submits ruling requests electronically, with visibility into the status**. Furthermore, Marty uses the portal to receive correspondence from the CBSA, and **electronically attaches supporting documentation** to his requests, as required.





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# Transporters

Canada

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- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

- CCP = CARM Client Portal
- SOA = Statement of Account
- OGD = Other Government Department
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- PGA = Participating Government Agencies
- AMPS = Administrative Monetary Penalty System
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

# Transporters

Maya Clakson



## Relationships



### Non-CBSA relationships

- Importers
- Customs Brokers
- Exporters and Other Vendors
- Trade Consultants,
- Lawyers,
- Accountants
- Participating Government Agencies
- Warehouses



### CBSA relationships

- CBSA Operations
- Technical Commercial Client Unit (TCCU)
- Trade Policy and Recourse

## Description

This persona represents businesses that facilitate the movement of goods into Canada, which includes freight forwarders and carriers for all modes of transport, as well as marine and shipping agents. Transporters work with importers and customs brokers to manage logistics and transport goods under bond to customers as efficiently as possible. This persona does not include Courier Low Value Shipment (CLVS) specific activities, however, does include other courier-relevant activities.

## Workspace

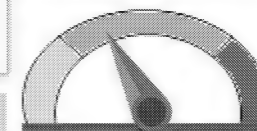
### CARM Client Portal (CCP) Functionality

#### Portal Functionality

- ▶ Delegation of Authority
- ▶ Compliance History and Correspondence
- ▶ Business number registration and program enrolment
- ▶ Statement of Account and Daily Notices  
Manage rulings, appeals, verifications, view AMPS
- ▶ Electronic Payments

This document illustrates how CARM will impact the commercial importation process for **Transporters**.

## CARM Key Information



**Transformation Level: Medium**

DRAFT

## Quote

"CARM will give transporters access to a self-service portal that will provide enhanced visibility and management of AMPS and CBSA requests, while maintaining current EDI

## Key Changes

- Management of CBSA account information, AMPS data, viewing of SOA and transaction history, through the CCP
- Additional electronic payment methods (e.g. Pre-Authorized Debit (PAD))
- New financial security model set at the Importer-level
- Electronic delegation of authority to access and operate an Importer's account in the CCP
- Requirement to electronically enroll in CBSA programs (i.e. must acquire a BN15)

## Key Benefits

- ★ Register/enroll into CBSA programs and easily manage real-time account data
- ★ View statement of account, commercial charges and make electronic payments
- ★ Versioning capabilities will allow for post-entry adjustments in cargo reporting to be made, through the CCP or EDI
- ★ Ability to delegate authority for the CCP to third-party service providers and customs brokers, with an expanded visibility and audit trail into their activities
- ★ Ability to submit and track requests made to the CBSA with increased visibility, including appeals, and adjustments
- ★ Answer all your importing questions using the ChatBot

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# A Day in the Life: Transporters

## Current State

- ⚡ To start her day, Maya is looking to add a freight forwarder business to her existing client profile, as well as update the address for one of her other carrier businesses, she **calls the CBSA to complete these tasks**. Additionally, Maya wants a trade consultant to assist with her carrier business, and is **completing the required documentation** to allow her commercial importations to be managed by her trade consultant.
- ⚡ Upon finishing her lunch break, Maya is **unsure of her current debt to the CBSA and what is on her Daily Notice**. To acquire this information, she reaches out to the CBSA and/or her third-party service provider, and references her internal records to obtain this information.
- ⚡ To finish off her day, Maya submits an appeal for a penalty she received. This is **time-consuming since the appeals process is paper-based**, she must track down which of her offices has received a hardcopy record of the notice in order to gather the necessary details to submit the appeal. Since the **CBSA provides limited visibility into the status of these requests**, she has to wait until the CBSA responds to receive an update on the status of her appeal.

## Future State

- Through the portal, Maya acquires BN15s for her carrier and new freight forwarding businesses, leveraging an electronic enrolment process. Maya **easily updates the address of her carrier business** through the portal. Upon granting the legal authorization, Maya **delegates authority to her trade consultant** to operate her portal account on her behalf, giving them access to manage specific processes, such as appeals.
- ★ Maya logs into the portal to **view all of the transactions on her account**, including her statement of account. Maya and her third-party service provider are able to **reference the portal in real-time to determine the amount due**. Finally, using the portal, Maya **easily pays what she owes to the CBSA electronically** (with the option to set up pre-authorized debit).
- ★ Using the CCP, Maya is able to **easily find her AMPS notice** information electronically, and submits her appeal with **clear visibility into the status of her request**. Maya can **electronically attach documentation** to her requests and **receive correspondence from the CBSA**, responding to compliance actions through the portal, as required.

9:00  
am

12:30  
pm

5:00  
pm

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LEGEND: ★ CARM Benefits ⚡ Current Pain-Points



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# Software Providers

Canada

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# Document Context and Purpose

- A persona represents a grouping of stakeholders based on real-world data and in-person research. They describe the goals, motivations, challenges, and interactions of stakeholders along with their relationship with the CBSA.
- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

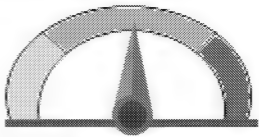
- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- EDI = Electronic Data Interchange
- PGA = Participating Government Agency
- ECCRD = Electronic Commerce Client Requirements Document
- Intermediary Businesses include Carriers, Couriers, Freight Forwarders, and Warehouses

# Software Providers

This document illustrates how CARM will impact the commercial importation process for Software Providers.

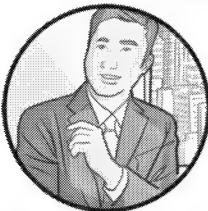
## CARM Key Information

DRAFT



**Transformation**  
**Level: Medium**

Andy Coughlin



### Relationships



#### Non-CBSA relationships

- Importers
- Customs Brokers
- Intermediary Businesses (e.g., Carriers)



#### CBSA relationships

- Technical Commercial Client Unit (TCCU)

### Description

Certified by the CBSA, software providers include businesses who provide software solutions for trade chain partners, including Electronic Data Interchange (EDI) and Customs Self-Assessment (CSA) clients. Software providers ensure that the flow of information occurs smoothly, assisting in their clients' ability to comply with CBSA requirements and import goods into Canada with minimal operational impact.

### Workspace

#### CARM Client Portal Functionality

##### Portal Functionality

- ▶ Delegation of Authority
- ▶ Statement of Account and electronic payments
- ▶ Correspondence history and correspondence
- ▶ Business number registration and program enrolment
- ▶ HS classification and tariff calculation tool
- ▶ Manage rulings, appeals, verifications, view AMPS
- ▶ Digital CADs with correction and adjustments

### Quote

"CARM's streamlined electronic account management processes will ease the administrative burden, while retaining core EDI functionality."

### Key Changes

- > Introduction of electronic delegation of authority to access and operate an Importer's account in the portal
- > Introduction of electronic billing and additional electronic payment methods (e.g. Pre-Authorized Debit (PAD))
- > Requirement to electronically enroll in CBSA software provider program in order to obtain a BN15
- > Availability to submit commercial accounting declarations, corrections, post-entry adjustments and mass-adjustments

### Key Benefits

The clients of Software Providers will experience the following benefits:

- ★ Delegate authority for the portal to third- party service providers and customs brokers, with an expanded visibility and audit trail into their activities.
- ★ Register/enroll into CBSA programs and easily manage account data
- ★ Manage the commercial accounting declaration process with versioning capabilities, through the CCP or EDI
- ★ Current EDI capabilities remain, with enhanced functionality for CCP-enabled processes
- ★ Submit and track requests made to the CBSA with increased visibility, including appeals, adjustments, and trade verifications

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# A Day in the Life: Software Providers

## Current State

- ⚡ After checking his email, Andy starts his day by enrolling his new software provider business with the CBSA by corresponding with the Agency through a **paper-based process**. It requires a **significant amount of time and effort to correspond back and forth** with the CBSA to get his business certified via a paper process.
- ⚡ As Andy finishes off his day, he recognizes that his clients have to submit their rulings and appeal requests to the CBSA via a paper-based process. Andy would like to help his clients and create a software solution to process these requests, but cannot because the **CBSA does not accept these requests electronically**.

## Future State

- ★ Through the CCP, **Andy is required to get a BN15 number**. Andy goes through a **streamlined electronic process of getting his software provider business certified with the CBSA**, benefitting from **electronic correspondence available to provide additional documentation/information** required to fulfill the program's certification requirements. Finally, **Andy works with his clients to obtain delegated authority in the CCP** to be able to send and receive importing data from the CBSA on their behalf.
- ★ Under CARM, **the CBSA accepts electronic ruling and appeal requests**. Therefore, Andy and his team are aiming to create a new solution that encompasses these requests, and is working with the CBSA to certify this new functionality with the Agency in the future.



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# Importers who do not use a Customs Broker (>\$50 K in duties and taxes)

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# Document Context and Purpose

- A persona represents a grouping of stakeholders based on real-world data and in-person research. They describe the goals, motivations, challenges, and interactions of stakeholders along with their relationship with the CBSA.
- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

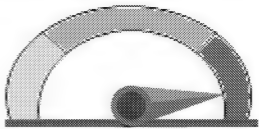
- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- EDI = Electronic Data Interchange
- PGA = Participating Government Agencies
- HS = Harmonized Commodity Description and Coding System
- Intermediary Businesses include Carriers, Couriers, Freight Forwarders, and Warehouses
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

# Importers who do not use a Customs Broker (>\$50 K in duties and taxes)

This document illustrates how CARM will impact the commercial importation process for **Importers who do not use a Customs Broker (High Volume).**

## CARM Key Information

DRAFT



**Transformation  
Level: High**

Jeanie Carr



### Relationships



#### Non-CBSA relationships

- Trade Consultants, Lawyers, Accountants
- Exporters and Other Vendors
- Participating Government Agencies
- Intermediary Businesses (e.g., Carriers)



#### CBSA relationships

- CBSA Operations
- Technical Commercial Client Unit (TCCU)
- Trade Policy and Recourse

### Description

This persona represents importers who manage their imported goods and transact business with the CBSA themselves, without employing the assistance of a customs broker. For the purposes of this persona, high volume is considered importers whose imported goods total more than \$50,000 per month in duties and taxes. This persona has a strong understanding of CBSA processes, and operates as sophisticated players in the commercial ecosystem.

### Workspace

#### CARM Client Portal Functionality

##### Portal Functionality

- ▶ Delegation of Authority
- ▶ Statement of Account and electronic payments
- ▶ Correspondence history and correspondence
- ▶ Business number registration and program enrolment
- ▶ HS classification and tariff calculation tool
- ▶ Manage rulings, appeals, verifications, view AMPS
- ▶ Digital CADs with correction and adjustments

### Quote

*"CARM will provide heightened visibility into the importing process, through access to self-service tools that will make the self-management of imports a more straightforward process."*

### Key Changes

- › New capability to manage appeals, rulings, and trade verifications
- › New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date
- › Additional electronic payment methods (e.g. Pre-Authorized Debit (PAD))
- › Introduction of the management of CBSA account information, viewing of statement of account and transaction history
- › New financial security model set at the Importer-level
- › Introduction of commercial accounting declaration management through the portal and EDI (includes post-entry adjustments and mass-adjustments)
- › New HS classification tool and automated tariff calculator

### Key Benefits

- ★ Delegate authority for the portal to third-party service providers and customs brokers, with an expanded visibility and audit trail into their activities.
- ★ View SOA, commercial charges, and monitor financial security in real-time, and make electronic payments with automated offsetting options.
- ★ Ability to submit and track requests made to the CBSA (includes rulings, appeals, adjustments, trade verifications)
- ★ Register/enroll into CBSA programs and easily manage real-time account data
- ★ Manage a simple commercial accounting declaration process with versioning capabilities, through the portal or EDI

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## A Day in the Life: Importers who do not use a Customs Broker (>\$50 K in duties and taxes)

### Current State

- ⚡ Jeanie has hired a new trade consultant, and is spending her morning corresponding with the CBSA to complete the required documentation to allow the trade consultant to transact business with the CBSA on her behalf.
- ⚡ Jeanie wants to reconcile her accounts, and is looking to better understand her company's debt owing to the CBSA and current financial security status, to confirm this information, she contacts CBSA representatives.
- ⚡ After reconciling her accounts, Jeanie wants to submit an appeal for a penalty she received. This takes a long time because the appeals process is paper-based, she must track down which of her offices has received a hardcopy record the notice, in order to gather the necessary details to submit an appeal. She has limited visibility into the status of these requests.
- ⚡ Jeanie wants to request the benefits of NAFTA for a large series of transactions from the past year. The legislative deadline for adjusting these transactions is approaching so she populates a paper 'blanket B2' form to request the changes. She is unsure if the CBSA will send the paper authorization form back in time, and is worried she'll lose the chance to collect refunds for some of her older transactions.

### Future State

- ★ Upon granting the requisite authorization, Jeanie uses an **electronic process to delegate authority** to her trade consultant to operate her portal account on her behalf. This will **grant the ability for her trade consultant to manage key areas of Jeanie's importing process in the portal**, including commercial accounting declarations, post-entry adjustments, trade verifications, rulings, and appeals.
- ★ Jeanie uses the portal to access her **transaction history**, including her statement of account. She **monitors her importer security bond in real-time**, receiving **notifications** when her company is nearing its bond limit.
- ★ Through the portal, Jeanie can easily find her **penalty notice information electronically**, and **submit her appeal** with clear **visibility into the status of her request**. Jeanie can **electronically attach documentation** to her requests and receive correspondence from the CBSA through the portal, as required.
- ★ Using an **electronic commercial accounting declaration process**, Jeanie quickly makes a **mass-adjustment** before she leaves the office. Jeanie is not constrained by time because she **receives instant acknowledgement** that her request was received. This ensures that all of the transactions she'd like to adjust will be **considered eligible for adjustment before the legislative deadline passes**.

8:30  
am

11:00  
am

1:30  
pm

4:30  
pm

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\*\*\* Draft concepts are provided for discussion and are subject to change \*\*\*

LEGEND: ★ CARM Benefits ⚡ Current Pain-Points



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# Importers who do not use a Customs Broker (<\$50 K in duties and taxes)

Canada

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# Document Context and Purpose

- A persona represents a grouping of stakeholders based on real-world data and in-person research. They describe the goals, motivations, challenges, and interactions of stakeholders along with their relationship with the CBSA.
- One company may perform a variety of importing services, and therefore, be represented by **multiple personas**.

## Legend:

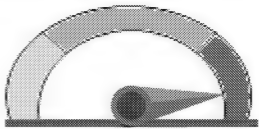
- CCP = CARM Client Portal
- CAD = Commercial Accounting Declaration
- RMD = Release on Minimum Documentation
- CBSA Operations include Border Service Officers, Senior Officers Trade Compliance (which includes Rulings Officers and Verification Officers)
- SOA = Statement of Account
- PGA = Participating Government Agencies
- HS = Harmonized Commodity Description and Coding System
- Other Vendors include businesses such as Suppliers, Manufacturers, etc.

# Importers who do not use a Customs Broker (<\$50 K in duties and taxes)

This document illustrates how CARM will impact the commercial importation process for **Importers who do not use a Customs Broker (Low Volume).**

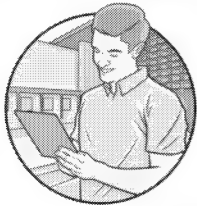
## CARM Key Information

DRAFT



**Transformation Level: High**

Joe Fischer



### Relationships



#### Non-CBSA relationships

- Exporters and Other Vendors
- Participating Government Agencies
- Intermediary Businesses (e.g., Carriers)



#### CBSA relationships

- Technical Commercial Client Unit (TCCU)
- Trade Policy and Recourse

### Description

This persona represents importers who manage their imported goods and transact business with the CBSA themselves, without employing the assistance of a customs broker. For the purposes of this persona, low volume is considered importers whose imported goods total less than \$50,000 per month in duties and taxes. This persona is comprised of typically smaller organizations with resources performing multiple functions and duties within the organization. Due to this reality, they are challenged to allocate significant time/cost/expertise to the importation process.

### Workspace

## CARM Client Portal Functionality

### Portal Functionality

- ▶ Statement of Account
- ▶ Correspondence history and correspondence
- ▶ Business number registration and program enrolment
- ▶ HS classification and tariff calculation tool
- ▶ Manage rulings, appeals, verifications, view AMPS
- ▶ Digital CADs with correction and adjustments

### Quote

*"CARM will provide access to self-service tools that will streamline processes and facilitate compliance, making the self-management of imports simpler."*

### Key Changes

- ▶ New harmonized billing and payment due date, with an interest-free correction period from CAD submission date to payment due date
- ▶ Additional electronic payment methods (e.g. Pre-Authorized Debit (PAD))
- ▶ Introduction of the management of CBSA account information, AMPS data, viewing of SOA and transaction history
- ▶ New financial security model set at the Importer-level
- ▶ Introduction of commercial accounting declaration management (includes post-entry adjustments and mass-adjustments)
- ▶ New HS classification tool and automated tariff calculator

### Key Benefits

- ★ Ability to manage a simple commercial accounting declaration process with versioning capabilities
- ★ View SOA, commercial charges, and monitor financial security in real-time , and make electronic payments.
- ★ Leverage self-service tools, such as HS Classification and Tariff Calculation tools, to facilitate compliance with the CBSA.
- ★ Register/enroll into CBSA programs and easily manage real-time account data

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## A Day in the Life: Importers who do not use a Customs Broker (Low Volume)

### Current State

- ⚡ Joe has opened a sporting goods shop, and is looking to register and enroll his business with the CBSA. Joe is finding it challenging to figure out what forms he needs to fill out, and what information he needs to provide to the Agency.
- ⚡ Joe is looking to buy sports equipment and is working through a cumbersome paper-based process to complete his RMD and B3 forms. Joe is challenged to understand the importing requirements, the classification rules, and how to properly calculate the tariffs to pay. He refers to CBSA and PGA websites to find the information he needs.
- ⚡ After submitting the day's declarations, Joe is trying to gain a better understanding of his current debt to the CBSA, in order to pay the CBSA via cheque or direct deposit through his financial institution.
- ⚡ Joe realizes that he inputted the incorrect country of origin for a shipment of baseball goods that was released 5 days ago. Using a time-consuming paper-based process, Joe is rushing to make the required changes before the 5 business day accounting deadline, or else he will have to populate a paper B2 form and incur interest on these transactions.

### Future State

- ★ By using the CCP, Joe is able to easily understand what information is required to **electronically register and enroll with the CBSA**. Furthermore, Joe can simply **update his client account information anytime, using the portal**.
- ★ Upon completing the RMD, **Joe uses the CCP to complete his commercial accounting declaration** using a simple electronic process. He uses an **HS classification tool** that allows him to more accurately classify his goods, as well as an **automated tariff calculator**. Throughout this process, Joe is able to use a **ChatBot to answer questions**, as it relates to the importing process.
- ★ **Through the CCP, Joe gathers a full list of his transactions and views his statement of account**, which he is able to **pay electronically** via credit card or through direct deposit. Under CARM, **Joe has his own bond with the CBSA that he is able to monitor in real-time**, with the ability to **receive notifications** when his company's bond is approaching its limit.
- ★ Using the CCP, Joe quickly makes **electronic corrections to his declarations**. Additionally, Joe is not worried about processing his corrections under a 5-day accounting deadline, because **there is now an interest-free correction period from CAD submission date to payment due date**.

8:30  
am

11:00  
am

1:30  
pm

5:30  
pm

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\*\*\* Draft concepts are provided for discussion and are subject to change \*\*\*

LEGEND: ★ CARM Benefits ⚡ Current Pain-Points

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
<u>Register Client &amp; Enroll in Program</u>	Customs broker is a known entity to other CBSA programs i.e. importer, carrier, sufferance warehouse, DFS	Compliance	Both	<p>Good compliance history – positive impact on RTC score</p> <p>Poor compliance history – negative impact on RTC score</p> <p>If broker has other CBSA Program accounts and has good compliance history it would affect their RTC score</p>
	Customs broker is in their first year of operation as a broker with the CBSA	Trust	<p>Neutral</p> <p>While they have not done anything wrong, they do not have history with the CBSA</p>	<p>First 6 months of operating as a broker = High Risk</p> <p>7-12 months operating as a broker = Medium Risk</p>

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
	Customs broker has more than 1 year in good standing with the CBSA	Trust	Positive	> 12 months operating as a broker = Low Risk
	Customs broker submits change of address	Compliance	Both	<p>If a broker comes forward to inform the CBSA of an address change it should have a positive effect on their RTC score</p> <p>If a broker fails to come forward it would mean an AMPs penalty and a negative impact on the RTC score</p>
	Customs broker is part of a trusted trader program	Trust	Positive	<p>Customs broker has a CTPAT/PIP number (reduction of risk score)</p> <p>*CTPAP to be further explored</p>

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
<u>Manage Assessment</u>	Customs broker has been ONLY importing low value goods (CLVS) in the last 6 months i.e. nothing (>\$2500 value) when they previous 12months they imported high value goods	Risk	Negative	Broker has been ONLY importing low value goods (LVS) in the last 6 months i.e. nothing >\$2500 value when entity imported high value in previous 12 months. = Medium Risk
	Customs broker has been importing goods with a constant value in the last 12 months	Trust	Positive	If broker has been importing goods of a consistent value in the last 6 months
	X% of broker's importer clients have made the following types of adjustments over the last 6 months to entries submitted by the broker (see Appendix A)	Risk	Negative	% TBD = Low Risk  % TBD = Medium Risk  % TBD = High Risk
	X% of broker's importer clients have not made the following types of adjustments over the last 6 months to entries submitted by the broker (see Appendix A)	Risk	Positive	

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
<u>Manage Overdue Collections</u>	Customs broker has an outstanding debt	Risk, Trust & Compliance	Negative	= Medium Risk (number of days)
	Customs broker has no outstanding debts	Risk, Trust & Compliance	Positive	Customs broker that has no outstanding debts = low risk
	Customs broker has "X" Notice of Arrears (NOA) in the past 12 months	Risk, Trust & Compliance	Negative	1 NOA = Medium Risk =>2 NOA = High Risk
	Customs broker has NO Notice of Arrears (NOA) in the past 12 months	Risk, Trust & Compliance	Positive	0 NOA in the last 12 months = low risk = positive score on RTC scale
	Customs broker has been in pre-collections "X" times in the past 12 months	Risk, Trust & Compliance	Negative	1 time = Medium Risk =>2 = High Risk

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
	Customs broker has been in pre-collections 0 times in the past 12 months	Risk, Trust & Compliance	Positive	Broker NOT being in pre-collections over 12 months = low risk = positive score on RTC scale
	Entity has filed for bankruptcy or bankruptcy protection	Risk	Negative	= High Risk
<u>Manage Compliance</u>	Customs broker has been dis-enrolled for compliance reasons by the CBSA from a relevant program in the past year	Compliance	Negative	Any dis-enrollment from a CBSA program for compliance reasons would have a negative effect on RTC score
	Customs broker has missed the deadline for annual licence fees renewal	Compliance	Negative	Late payment for license fees = low impact on RTC score
	Customs broker pays annual license fees on time or in advance of deadline	Risk, Trust & Compliance	Positive	Showing initiative to pay annual license fees in advance or before deadline should positively impact RTC score

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
	Customs broker has significant increase/decrease in number of clients	Risk	Could be both	=>25% increase/decrease in number of clients = Medium Risk?
	Customs broker imports on behalf of “%” of importers with a compliance score below a given threshold	Compliance	Negative	>10% = High Risk =5-10% = Medium Risk <5% = Low Risk
	Customs broker imports on behalf of “%” of importers with a compliance score above a given threshold	Compliance	Positive	
	Number of new AMPS issued to a customs broker in the last month	Compliance	Negative	Can we do this when AMPS are to the importer?
	Number of AMPS issued to customs broker in a 12 month period	Compliance	Negative	0-2 = Low Risk 3-4 AMPS = Medium Risk >5 AMPS = High Risk

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
	0 AMPS issued to customs broker in a 12 month period	Risk, Trust & Compliance	Positive	0-2 AMPS = Low risk  0 = Positive impact on RTC score?
	Number of issued AMPS above a given threshold	Compliance	Negative	Any AMPS at 2 <sup>nd</sup> and 3 <sup>rd</sup> level = High Risk
	Customs broker has "X" number of importer clients that have resultant verifications in the last 6 months	Compliance	Negative	0-2 times = Low Risk  3-5 times = Medium Risk  >5 times = High Risk  More than "X" resultant compliance verification cases for broker's clients over the last 4 years (the "X" could be count or in % terms)
	Customs broker has 0 number of importer clients that have resultant verifications in the last 6 months	Risk, Trust & Compliance	Positive	0 times = positive impact on RTC score

## Customs Brokers Licensing RISK Rules

Section	Rule	Which score? (RTC)	Positive or Negative	Comments/Notes
<u>Manage Compliance</u>	Customs broker has % overdue releases each month for transactions they submit	Compliance	Negative	0-1% = low risk  2-5% = Medium Risk  >5% = High Risk
<u>Manage Compliance</u>	# of substantiated complaint cases against the customs broker over a 24 month period	Compliance	Negative	0 = low risk  1-2% = Medium Risk  >=3% = High Risk

## Customs Brokers Licensing RISK Rules

### APPENDIX A

X% of broker's importer clients have made the following types of adjustments over the last 6 months to entries submitted by the broker:

#### **B2 Risk Criteria**

1. A B2 that meets any one of the criteria listed below is to be deemed as high-risk and must be sent to an SOTC for review and/or decision:
  - i. B2 adjustments with a refund value of \$25,000 or greater;
  - ii. B2 adjustments presented in the final six months (i.e., 43rd-48th month) of their four-year statutory time limit;
  - iii. B2 adjustments for NAFTA related goods submitted outside of the one year statutory time-limit;
  - iv. B2 adjustments submitted under any dual authority that includes s.60 of the *Customs Act*;
  - v. B2 adjustments seeking an importer name and/or business number (BN) change;
  - vi. B2 adjustments related to a temporary entry;
  - vii. B2 refund adjustments related to a change in tariff code;
  - viii. Invalid B2 adjustment request (e.g., incorrect tariff classification, incorrect legislative authority, incorrect tariff treatment);
  - ix. B2 adjustments for same or similar goods/issues for which there is a pending appeal to the CITT or Federal Court;
  - x. B2 adjustments received with a request for an Advance Ruling, National Customs Rulings or with a sample;
  - xi. B2 adjustment requests submitted by clients who are identified as high-risk. (e.g., clients with a history of non-compliance; clients from which a sudden increase/higher than normal volume of claims are received; etc.); or,
  - xii. B2 adjustments relating to targeted criteria defined by Headquarters in order to address a specific risk of non-compliance.



# CBSA Assessment and Revenue Management (CARM) Solution

C062: Broker and Importer ~~RPP~~ Financial Security (Bond)  
Conversion - Detailed Design Specifications

<b>Document Identification</b>	30671692
<b>Document Name</b>	Broker and Importer RPP-Financial Security (Bond) Conversion
<b>Project Name</b>	CARM R2
<b>Client</b>	CBSA
<b>Document Author</b>	Jalal Rajan
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23-Apr-2020	Yoan Lebreux	CARM	Final Review
<b>30-April-2020</b>	<b>Carola Daffner</b>	<b>CARM</b>	<b>Final SD lead review</b>

# Distribution of Final Document

The following people are designated recipients of the final version of this document:

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## Table of Contents

<b>1</b>	<b>Overview and Purpose</b>	<b>5</b>
1.1	Overview	5
1.2	Business Driver	5
1.3	Impacted Sub-Process	6
1.4	Assumptions	6
1.5	Risks	6
1.6	Impacted Systems	6
<b>2</b>	<b>Functional Considerations</b>	<b>7</b>
2.1	Detailed Description	7
2.2	Process Flow	8
2.3	Scheduling Requirement	9
2.4	Dependencies	9
2.4.1	Environment / Configuration	9
2.4.2	Development Dependencies	10
2.4.3	Run / Execution Dependencies	10
<b>3</b>	<b>Detailed Design</b>	<b>11</b>
3.1	Mapping	11
3.2	Filtering Requirement	11
3.3	Verification & Reconciliation Procedure	11
3.4	Additional Information	11
3.4.1	Error Log	11
3.4.2	Create Functional module	11
3.5	Testing Scenarios	11
<b>4</b>	<b>Technical Details</b>	<b>13</b>
4.1	Mapping & Transformation	13
4.1.1	Object Information	13
4.1.2	Technical Solution Description	13
4.1.3	Error Handling	13
4.2	Load	13
4.2.1	Object Information	13
4.2.2	Technical Solution Description	13
4.2.3	Error Handling	14
4.3	Auditing and Control Requirements	14
<b>5</b>	<b>Security and Controls</b>	<b>15</b>
5.1	Security Requirements	15
5.2	Auditing and Control Requirements	15
<b>6</b>	<b>Attachments and Documentation</b>	<b>16</b>

# 1 Overview and Purpose

<b>Object ID</b>	<b>C062</b>	<b>Business Process</b>	14.1.1: Accepting Financial Security
<b>System</b>	SAP S/4 HANA	<b>Component</b>	Master Data
<b>Object Type</b>	<input type="checkbox"/> Report <input type="checkbox"/> Interface <input checked="" type="checkbox"/> <b>Conversion</b> <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	High	<b>Translation Required?</b>	No
<b>Transaction Name</b>	N/A	<b>Program Name</b>	N/A
<b>Volume</b>	There are 7380 active and non-active bond records in the legacy. At the time of cut-over go live the number of record may have changed.	<b>Frequency of data create/update</b>	Conversion will happen during cut-over go live. In the legacy system bond data is created when TCPs enroll in the program.

## 1.1 Overview

Trade Chain Partners (TCP) who want to enroll in the Release Prior to Payment (RPP) program are required to post financial security bonds to secure their debts, in case they incur a default in their payments. Currently, bonds are submitted in different forms, e.g. paper, ~~cheques~~ checks and Government of Canada issued bonds. Under the RPP program, TCPs can release their goods without paying duties and levies at the time of import and the bond is submitted to secure these debts.

All existing paper bonds and Government of Canada issued bonds are in the CARM conversion scope. All active and non-active bonds that has expired within one year prior to the conversion are in scope for conversion. However, if the broker RPP business team deem necessary to convert all the bonds, irrespective of the status of the bonds, then all the bonds in the system will be converted. Currently, the broker RPP bond data is maintained in the Excel spreadsheet by the Commercial Registration Unit (CRU).

This Functional Spec fulfils the following requirement:

- RTM: R0805-Convert Security related information from Broker-Importer RPP system to CARM PSCD-Security Deposit system

## 1.2 Business Driver

Provide CBSA with a singular system to store and maintain all financial security bond records for all programs that require submission of bonds.

### 1.3 Impacted Sub-Process

Conversion of financial security bonds does not impact any sub-process.

### 1.4 Assumptions

- Broker-Importer RPP team will copy the financial security bond data in Excel spreadsheet.
- Data Cleansing will be Broker-Importer RPP team responsibility
- Broker-Importer RPP team will extract the data in Excel file format and place them in a drop zone (drop zone is in build phase by CARM conversion team)
- CARM conversion team will load the data in CARM SAP S/4 HANA PSCD-Security Deposit system

### 1.5 Risks

If the Financial Security Bonds are not converted in CARM:

- CBSA will have to maintain two systems to pull bond information, e.g. Broker-Importer RPP and CARM Security Deposit
- CBSA's vision to store, maintain and display financial security information will be defeated

### 1.6 Impacted Systems

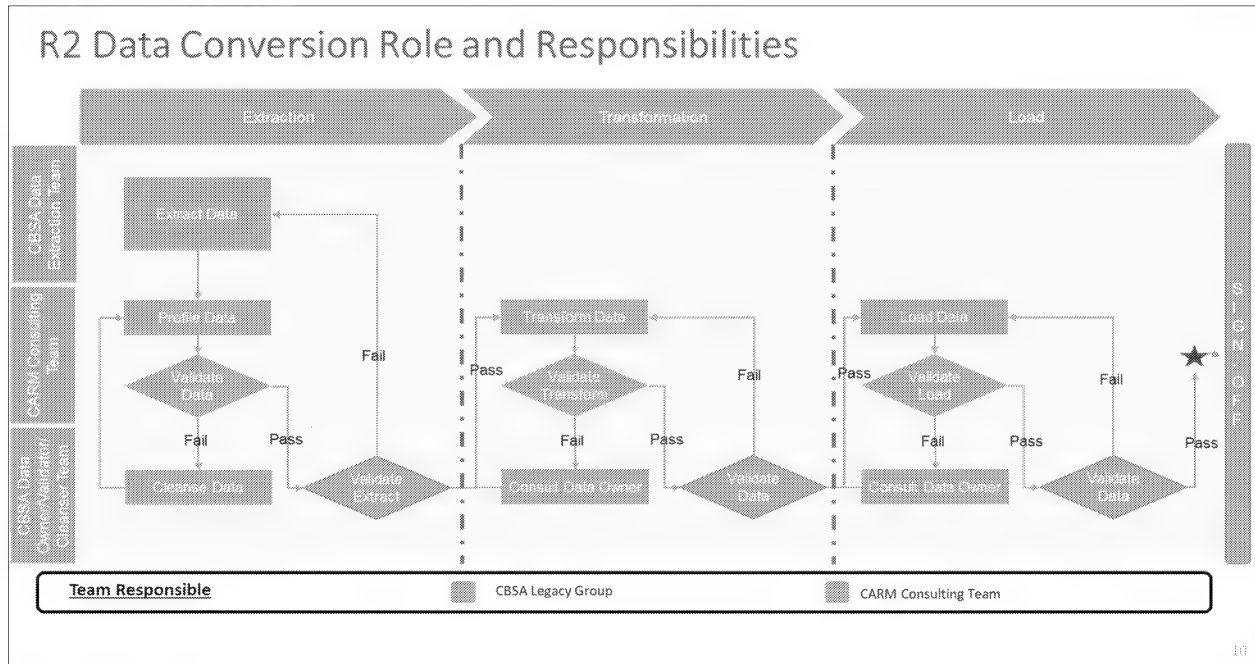
- |  |  |                                     |
|--|--|-------------------------------------|
| <input checked="" type="checkbox"/> SAP S/4 HANA | <input type="checkbox"/> Sales and Marketing / SAP CRM | <input type="checkbox"/> SAP BI     |
| <input type="checkbox"/> Procurement / SRM       | <input type="checkbox"/> Portal                        | <input type="checkbox"/> Middleware |
| <input type="checkbox"/> Supply Chain / SCM      | <input type="checkbox"/> Others / Legacy:              |                                     |

## 2 Functional Considerations

### 2.1 Detailed Description

- All active bonds and non-active bonds that has expired within one year prior to conversion are in scope for conversion. Bonds expired within one year are in a liability period, i.e. within one year of expiration/cancellation, the bond can be claimed. However, if the Broker-Importer RPP business team deem necessary to convert all the bonds irrespectively of their status, then all the bonds in the system will be converted
- Source (Broker-Importer RPP) and Target (CARM SAP S/4 HANA PSCD Security Deposit) field data element will be mapped for smooth conversion of data.
- Conversion data will be prepared in Excel spreadsheets and placed in a drop zone.
- CARM conversion team may convert the file format from Excel spreadsheets to any other format they deem necessary for conversion.
- CARM conversion team will load the extracted data in CARM SAP S/4 HANA PSCD Security deposit system
- The system will generate a unique ID for each financial security record that will be converted in CARM SAP S/4 HANA PSCD Security deposit system.
- Conversion team will build an error log for the functional team to resolve the error that may occur during the testing and production conversion. Refer to section 3 for error log values required.
- Refer to section 3 of this document for tables, fields and other conversion logic, reconciliation and validation.
- Volumetric of the initial load will be determine for technical team who will be performing the conversion of the data.

## 2.2 Process Flow



Process Step	Owner	Process	Output	Validation
1	Broker-Importer RPP Team	<u>Data will be cleansed and validated and Prepare conversion load file in Excel spreadsheet will be prepared</u>	Conversion data will be stored in excel spreadsheet and placed in drop zone	Data will be validated by the owner of the data
2	CARM Consulting Team	Profile and validate data	Update data file	Data profiling to ensure that the data is valid and accurate
3	Broker-Importer RPP Team	Cleanse & Validate data	None	Cleanse and validate data that was identified during data profiling
4	CARM Conversion/Consulting Team	Transform & Validate data	None	Run the transformation logic to obtain the values that will be converted
5	Broker-Importer RPP Team	Validate data	None	Validate data if required after transformation of the data.
6	CARM Conversion team	Load data	Data is converted in CARM and Financial Security deposit record is created	Validate the converted data
7	CARM Conversion / Consulting team	Verify error log and fix the error and reload the delta file	<del>If any record fail to convert will appear in error log</del> None	<del>Validate error log to identify why the data fail to convert</del> <u>Validate that there is no error in the error log, if there is an error, repeat step 7 until the file does not have any error in the log</u>
8	Broker-Importer RPP Team	Validate converted data	None	Broker-Importer RPP Team will validate the converted data

## 2.3 Scheduling Requirement

Conversion of financial security bonds will be carried out during the cut over go-live. Functional team and the Conversion team will run the conversion program to load the files, no scheduling is required.

## 2.4 Dependencies

### 2.4.1 Environment / Configuration

Configuration: required for CARM PSCD security deposit, Master data and FACTS should be completed before the testing and go-live.

## 2.4.2 Development Dependencies

Field enhancement from FD E038 should be completed.

## 2.4.3 Run / Execution Dependencies

Master data: all BP (Business Partners) related to Master data (BP (Business Partners) – CA (Contract Account) – CO (Contract Object)), including security provider Master data and ASEC data, should be converted before bond conversion.

## 3 Detailed Design

### 3.1 Mapping

Mapping of Importer and Broker RPP (source system) with Target system CARM SAP S/4 HANA PSCD Security Deposit



C062-Mapping doc

### 3.2 Filtering Requirement

There is no filtering requirements.

### 3.3 Verification & Reconciliation Procedure

- Number of bond records created from load file to be validated and reconciled from the following table:
  - FKK\_SEC: Security Deposit
  - FKK\_SEC\_N: Non Cash security deposit
  - FKK\_SEC\_C: Contract for Security Deposit

### 3.4 Additional Information

#### 3.4.1 Error Log

- The system will not create financial security bond records in CARM PSCD security deposit if any of the fields in the load file fail to post. For that record, the system will create an error log for the functional team to investigate and correct the record.
- The error log should contain all the fields of that record that failed to post in the CARM PSCD security deposit.

#### 3.4.2 Create Functional module

- Call Functional Module “*FKK\_S\_SECURITY\_CREATE*” to create the security deposit record in CARM-PSCD security deposit object.
- The system will generate a unique ID for each bond record converted in CARM-PSCD security deposit object.

### 3.5 Testing Scenarios

Step #	Test Step	Test Data/Instruction	Expected Result
1	Execute SE16N: Go the following tale FKK_SEC: Security Deposit FKK_SEC_N: Non Cash security deposit FKK_SEC_C: Contract for Security Deposit	A: Count number of record vertically and reconcile with the load file B: Select at random converted bond record, and match the data with the load file	All record in load file should be created in the CARM PSCD Security deposit object. Number of record and the field should match with load file.

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## 4 Technical Details

This section will be completed during the Build Phase.

### 4.1 Mapping & Transformation

#### 4.1.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.1.2 Technical Solution Description

*<Describe the program structure and how it processes the data that is to be extracted. Although complete pseudo code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>*

#### 4.1.3 Error Handling

*<Enter any additional information that could be helpful in developing this conversion.>*

### 4.2 Load

#### 4.2.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.2.2 Technical Solution Description

**For LSMW/ABAP Programs:**

*<Describe the program structure and how it processes the data that is to be received. Although complete pseudo code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days*

*in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>*

#### **For ETL Tool:**

*<If the data will be loaded through BAPIs or IDOCs directly from ETL Tool, please explain the following details:>*

#### **Technical Details of IDOC/BAPI:**

*<Provide the name and details of the IDOCs and BAPIs that are going to be used. This should include the IDOC Type, Message Type, and any control parameters (including partner profiles) that must be configured to be able to invoke these IDOCs. Provide details of the segments of the IDOCs that are going to be used for the particular conversion object. If multiple IDOC/BAPIs will be used to load the records, provide the sequence in which they must be executed, along with details of prerequisites and other conditions that must be fulfilled.*

*If an IDOC/BAPI needs to be extended to include additional fields or segments, provide details of the development that is being carried out with the field details.>*

#### **Data Preparation:**

*<If the data has to be transformed to a specific structure or format before it can be loaded through the IDOC or BAPI, please provide the details here. Details may include nested schema or sub-schema requirements, control segment details of the IDOC, and any additional data (such as field check segments populated with 'X' for fields that are going to be loaded), please provide comprehensive details here.>*

#### **IDOC Processing:**

*<Provide details of any specific needs for processing the IDOCs in the target SAP ECC system. Include details of the transactions that will be used to process the IDOCs. If the IDOCs have to be processed in the background due to specific performance requirements, please mention details of background processing, including scheduling.>*

### **4.2.3 Error Handling**

*<Enter any additional information that could be helpful in developing this conversion.>*

## **4.3 Auditing and Control Requirements**

## 5 Security and Controls

### 5.1 Security Requirements

This specification has no security impact on the CARM applications for end-users. Any conversion activities will be performed by the CARM Project Team through the approved, temporary assignment of a conversion role. Any tools will be captured and placed into a Managed Services role in the event that access is required during post-go live support.

### 5.2 Auditing and Control Requirements

There are no audit or control requirements for running this conversion activity.

## 6 Attachments and Documentation

Broker master CRU spreadsheet

# CBSA Assessment and Revenue Management (CARM) Solution

C140 – Broker Licensing Program Enrollment Master Data Conversion

## Document Control Information

### Document Information

Document Identification	30357613
Document Name	Broker Licensing Program Enrolment Master Data Conversion
Project Name	CARM
Client	CBSA
Document Author	Syam Jamaly
Document Version	0.7
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0.6/0.7	10-March-2020	Updates to section 3.1.1.5 and review	Syam/Anand
0.8	03-Apr-2020	Updates to Section 2.4 and 3 to align with E672	Syam Jamaly

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## Table of Contents

<b>1</b>	<b>Overview and Purpose</b>	<b>6</b>
1.1	Overview	6
1.2	Business Driver	7
1.3	Impacted Sub-Process(es)	7
1.4	Assumptions	7
1.5	Risks	9
1.6	Impacted Systems	9
<b>2</b>	<b>Functional Considerations</b>	<b>10</b>
2.1	Detailed Description	10
2.2	Process Flow	10
2.3	Scheduling Requirement	12
2.4	Dependencies	12
2.4.1	Environment / Configuration	13
2.4.2	Development Dependencies	13
2.4.3	Run / Execution Dependencies	13
<b>3</b>	<b>Detailed Design</b>	<b>14</b>
3.1	Detailed Design for National Licensing Scheme	14
3.1.1	Mapping	14
3.1.1.1	Determine active Customs Broker License master records in CARM eligible for enhancement	15
3.1.1.2	Determine list of Customs Brokers in the Broker Master List but not in CARM	16
3.1.1.3	Validate Brokerage legal form	17
3.1.1.4	Validate Business Address	17
3.1.1.5	Migrate License Number	18
3.1.1.6	Migrate Mailing Address for new and pre-existing records	18
3.1.1.7	Migrate Directors	19
3.1.1.8	Migrate Qualified Officer	20
3.1.2	Filtering Requirement	22
3.1.3	Verification & Reconciliation Procedure	23
3.1.3.1	Tables	23
3.1.3.2	Transactions	26
3.1.4	Additional Information	26
3.1.5	Testing Scenarios	26
3.2	Detailed Design for Regional Licensing Scheme	27
3.2.1	Mapping – Regional Licensing Scheme	27
3.2.1.1	Determine active Customs Broker master records in CARM eligible for enhancement	28
3.2.1.2	Determine list of Customs Brokers in the Broker Master List but not in CARM	28
3.2.1.3	Validate Brokerage legal form	32
3.2.1.4	Create new records for remaining Broker Licenses in the Broker Master List	32
3.2.1.5	Business Address	34
3.2.1.6	Migrate License Number	34
3.2.1.7	Migrate Mailing Address for new and pre-existing records	35
3.2.1.8	Migrate Directors	36
3.2.1.9	Migrate Qualified Officer	37
3.2.2	Filtering Requirement	39
3.2.3	Verification & Reconciliation Procedure	40
3.2.3.1	Tables	40
3.2.3.2	Transactions	42
3.2.4	Additional Information	43
3.2.5	Testing Scenarios	43
<b>4</b>	<b>Technical Details</b>	<b>47</b>
4.1	Mapping & Transformation	47
4.1.1	Object Information	47
4.1.2	Technical Solution Description	47

4.1.3 Error Handling .....	4745
4.2 Load .....	4745
4.2.1 Object Information .....	4745
4.2.2 Technical Solution Description .....	4745
4.2.3 Error Handling .....	4846
4.3 Auditing and Control Requirements .....	4846
<b>5 Security and Controls .....</b>	<b>4947</b>
5.1 Security Requirements .....	4947
5.2 Auditing and Control Requirements .....	4947
<b>6 Attachments and Documentation .....</b>	<b>5048</b>

## 1 Overview and Purpose

<b>Object ID</b>	<b>C140</b>	<b>Business Process</b>	9.2 Manage Client Master Data
<b>System</b>	SAP S/4HANA	<b>Component</b>	Master Data
<b>Object Type</b>	<input type="checkbox"/> Report <input type="checkbox"/> Interface <input checked="" type="checkbox"/> <b>Conversion</b> <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	High	<b>Translation Required?</b>	Yes / No
<b>Transaction Name</b>	N/A	<b>Program Name</b>	N/A
<b>Volume</b>	~300 national, assumed ~550 regional	<b>Frequency of data create/update</b>	~20/year, regional

### 1.1 Overview

Data conversion is the process of migrating the data from one system to another. This is a multi-step team effort that starts with discovery of data followed by data analysis & scoping. Scoping provides the baseline for the effort and supports effort estimation, cost estimation and sizing. Next steps include extract, cleanse, transform and load.

**Current State Process:** Currently, Broker applications sent by Trade Chain Partners (TCPs) are received through mail at regional offices. The application consists of two forms: an L53 form, the Customs Broker License Application, and an L60 form, the Customs Broker Questionnaire. If the CBSA approves, the regional office will post an L53 to make the enrolment public and sign the submitted L53 for internal reference. The Broker is then required to pay a \$600 fee per office that they wish to support importations through. Additionally, Brokers are required to provide a \$50,000 bond that is posted in ARL. Next, a request is sent to Commercial Registration Unit (CRU) for the new enrolment to be captured in the "Broker Master List", a Microsoft Excel spreadsheet, including the Broker's name, license no., location, region, and bond information. Brokers are also issued a Certificate of License upon a successful enrolment. Should the Broker submit an additional application to enrol in the Release Prior to Pay (RPP) program, an entry is created in ARL & CCS containing only subsets of the information found in the "Broker Master List" spreadsheet.

**Scope of the Conversion:** The focus of this data conversion activity is to migrate the Broker License master data maintained in the "Broker Master List" spreadsheet and enhance the client master data for Customs Broker in CARM. This functional specification document outlines the specific activities that will need to take place for this to happen.

**Future State:** In the future, as part of CARM Release 2, TCPs will continue to submit the L53 and L60 forms but will do so on the CARM Client Portal (CCP) modernizing their application submission and

review processes as part of the overarching program enrolment process. The CRU unit will interact with CARM to enter and maintain attributes for the customs broker's enrolment.

After this conversion, the CBSA will have a repository for pre-existing Customs Broker program enrolment master data that is compatible with future Customs Broker enrolment (enabled by the CARM Client Portal in Release 2).

This functional specification fulfils the following requirement:

- **R1098** – CARM should enable CBSA to bring over all the client master data as part of the initial load from all the retiring systems and other sources currently used to store client master data for the purpose of administering enrolment in CBSA commercial programs as listed in SOW Appendix-3, Capability: Registration and Enrolment.
- **R1135** – The contractor must expect to receive bulk loads of data from the legacy systems the contractor is replacing. The contractor must transform this data and load the new solution. The contractor must consult data owners on data definition and resolving conflicts in data definitions prior to transformation.
- **R1217** – Provide Existing Spreadsheet, Transform and Load into CARM - Spreadsheet: Broker Licensing Program Enrolment - Master Data migration - Select Dataset ONLY

## 1.2 Business Driver

- Enable the CBSA to consolidate a portion of the IT landscape specifically for the Customs Broker enrolment program.
- This migration will consolidate the remaining Broker client details maintained in the CRU's spreadsheet thereby helping the CBSA retire the spreadsheet and minimize maintenance and integration costs.
- By consolidating Broker master data in CARM, the CBSA will be able to update Broker master data in a common application when national licensing is approved
- Provide the CBSA with a singular system to store pre-existing and future program enrolment data as well as enable a broader view of a TCP/Legal Entity across its different lines of business.
- Enable TCPs with existing Broker lines of business to access, view and update their information through the CBSA Client Portal/SAP Hybris (CCP or Hybris)

## 1.3 Impacted Sub-Process(es)

- 1.2 Enrol in Program
  - Enable TCPs to enrol as Brokers
- 9.2 Manage Client Master Data
  - Enable TCPs with existing Broker program accounts to access and view their information using Hybris

## 1.4 Assumptions

- **Key Assumption:** The CBSA will launch a national Broker licensing program that will replace the current-state regional licensing program. As such, the CBSA (Customs Broker CRU) will be responsible for reviewing the Broker Master List and making the necessary changes to the master data contained within in order to reflect consolidation of licenses for a given customs broker. The national licensing scheme is assumed to be the scheme that will be active at the time of CARM

Release 2 go-live. This conversion will migrate all the details found in the Broker Master List for all licenses.

- **Key Assumption:** This document contains the logic necessary to migrate Broker licensing program enrolment master data into CARM based on an assumed future-state Broker Master List; this can be found in Section 3.1. For this logic to function as intended, the columns of the Broker Master List must remain the same even after the CBSA has revised it once the national licensing begins.
  - Logic to migrate Broker licensing program enrolment master data based on the regional licensing scheme modelled off of the current-state Broker List can be found in Section 3.2 (as a back-up).
- The Broker Master List is the “source of truth” as well as the “origin of truth” for Broker program enrolment master data.
- The CBSA will be responsible for providing a copy (or copies) of the Broker Master List that have been cleansed and are ready for transformation and loading into CARM throughout the development, testing and final cutover cycles. The steps to transform and load these cleansed extracts can be found in Sections 3.1.1 and 3.2.1 of this document.
  - Although Microsoft Excel cells can support hundreds of characters, CARM (specifically SAP S/4HANA) has field length limits that need to be considered prior to and during conversion. This means that the CBSA will need to ensure that fields in the License sheet of the Broker Master List do not exceed the field length limits of the SAP fields they mapped to. Please refer to the embedded Mapping Sheet files at the end of Sections 3.1.2 and 3.2.2 for the exact mappings between the Broker Master List License sheet and SAP S/4HANA tables.
- The only Broker Licences that are in ARL, and subsequently CARM, are the ones for which RPP privileges were applied for and granted and can be uniquely identified by a 5-digit number representing the associated Account Security (ASEC) number.
- The Broker Master List spreadsheet file, for both national and regional licensing, has two sheets: one for Licences and one for RPP. There is no unique identifier linking the sheets. In order to align between the two sheets, the following methods will be used, one for each licensing scheme:
  - For the national licensing scheme: The “Broker’s name” is assumed to be the exact same across the two sheets. For this reason, values from the “Broker’s name” column of the RPP sheet will be matched with their counterparts in the License sheet to determine specifically which Licences already exist in CARM.
  - For the regional licensing scheme: The “Street address” is assumed to be the exact same across the two sheets and thus the closest element to a unique identifier. For this reason, values from the “business address” column of the RPP sheet will be matched with their counterparts in the Licensing sheet to determine specifically which licences already exist in CARM. This is especially important for large Brokers who have numerous licences to ensure that this conversion activity does not incorrectly duplicate pre-existing records.
- As the focus of this conversion activity will be active Brokers, the only Broker records that will be enhanced will be the ones pre-existing in ARL, and subsequently CARM.
- This document does not cover the conversion or migration of Broker licensing or RPP bond information; that will be completed through a separate, focused conversion activity. Please refer to FDS C062 - ASEC Program Enrollment Master Data Conversion for more information on this conversion.

- This document does not cover the conversion or migration of Broker program enrolment master data-related unstructured content, scanned or physical. Please refer to FDS C205 - [U] Broker Licensing Program Enrolment - Documents Migration for the design of that activity.
- This document does not cover the functionality of the CCP/Hybris in any form; any mention of the CCP/Hybris is merely to illustrate the benefits of consolidating Broker program enrolment data in CARM and how it will enable the CBSA to offer increased value to TCPs.
- The final conversion to CARM's production environment will be a one-time migration activity.

## 1.5 Risks

- Without this conversion, Broker program enrolment details will be maintained in a siloed system leading to additional system maintenance and integration efforts.
- The CBSA will not have a clear view of a TCP's collective lines of business in a single system (CARM) presenting an obstacle to financial standing analyses and risk ratings.
- TCPs in the Broker line of business will not be able to leverage the full capabilities of the CARM Client Portal (CCP) if their program enrolment master data is not in CARM.

## 1.6 Impacted Systems

- ☒ SAP S/4HANA      ☐ Sales and Marketing / SAP CRM      ☐ SAP BI  
☐ Procurement / SRM    ☐ Portal      ☐ Middleware  
☐ Supply Chain / SCM    ☒ Others / Legacy (List Name/Function) \_Broker Master List\_

## 2 Functional Considerations

### 2.1 Detailed Description

The Broker Master List spreadsheet's License sheet, in its current regional licensing state, contains ~550 records every one of which has a unique license number. As for the RPP sheet, it contains ~300 records which have unique ASEC numbers. As for CARM, it contains nearly ~425 Broker RPP records with a unique 5-digit ASEC number and of which ~300 correspond to an entry in the RPP sheet of the Broker Master List. As part of this migration for CARM Release 2, existing Broker master data records in CARM will be enriched with their full program enrolment master data maintained in the License sheet of the Broker Master List.

Following are the conversion activities that will be required:

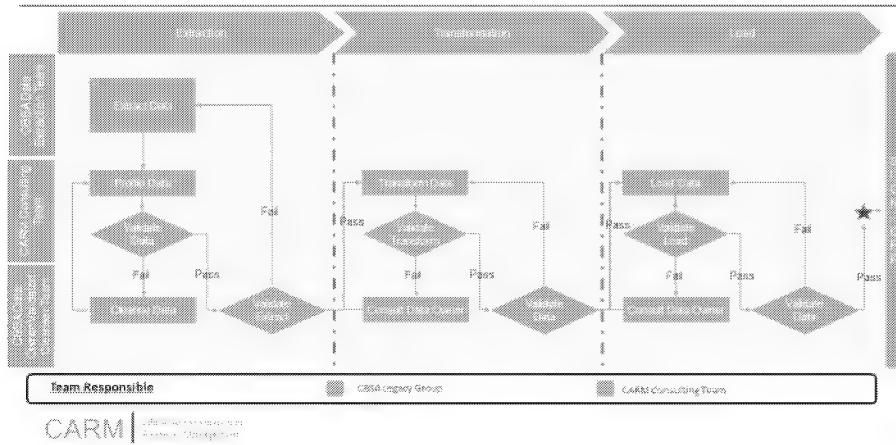
1. Profiling the data to assess format compatibility and flag any changes that need to be made to the structure as part of the following cleansing
2. Cleansing the data in the CRU's Broker Master List (by the CBSA)
  - Business rules and tools necessary to cleanse data are not designed in this specification
3. The conversion program being developed as per this functionality (by Deloitte) will only read data as provided by the CRU from the Broker Master List and transform the data into the required formats as mandated in SAP S/4HANA
  - Considering the fact that the Broker Master List is a spreadsheet, actual format restrictions, especially around the length of fields, will be determinable only upon receiving cleansed copie(s) of the Broker Master List
4. Perform transformation and load data into CARM, as designed in this specification
  - Exception records will be created for issues such as (a) the record not in CARM, (b) data formats are incompatible (c) bad data
5. Validate if conversion and migration were successful, as designed in this specification
6. Conduct final business validation to verify if data is still aligned to CBSA business logic, which will be covered by user based testing

These activities will require the engagement of the following teams:

- CRU Business Team
- CARM Technical Team
- CARM Functional Team

### 2.2 Process Flow

## R2 Data Conversion Roles and Responsibilities



Process Step	Input	Processing / Mapping / Requirements	Output	Owner*
1	Profile & validate data	Data is entered in order to identify where there could be mismatches between format	Data has been profiled & validated flagging format incompatibilities ready for cleansing by CBSA	Deloitte
2	Clean up data	Clean data as profile output	Data is cleansed and validated, flat file available for transformation	CBSA
3	Convert and transform data	Transform data from the flat file into CARM compatible format	Data converted and transformed to be compatible with CARM	Deloitte (this design)
4	Conduct tests and validate successful transformation	Tests will be conducted to ensure the data transformation is successful before loading into CARM.  All exception records will be processed manually and addressed appropriately before proceeding.  Exception records should be either addressed via the conversion program fixes, and if it's a data issue then in the source file before the next test run.	Functional decision on validity	CBSA and Deloitte
5	Load data into CARM	Run the conversion program to load the data into CARM by reading the transformed, validated and cleaned up file	Data from source system is now into CARM	Deloitte (loading program)
6	Final business validation	Validate if data aligns with CBSA business logic	Decision of business logic validity	CBSA

### 2.3 Scheduling Requirement

- Conversion into production will be executed only once, in batch, during cutover at a time that does not interfere with other Broker master data conversion or migration activities.
- Success of this conversion depends on the Broker Master List being cleansed. Any “bad” data in the source file will be transformed as “bad” data into CARM, so it is imperative that data provided in source file extracts is clean.

### 2.4 Dependencies

#### 2.4.1 Environment / Configuration

- Configuration of the new, expanded set of Contract Account Categories and Contract Object Types as per the Master Data Remodel
- Configuration of Facts for Brokers
- Configuration of the following:
  - Configuration of Business Partner-level ID for Broker Licenses (BROLIC)
  - Configuration of Facts for Brokers (Fact set, fact types, fact categories)
  - Roles and titles for Contact Persons (BUT051-PAFKT), Qualified Officers and Directors
  - Address type for Contact Persons and Qualified Officers (BUT021\_FS-ADR\_KIND)

#### 2.4.2 Development Dependencies

- Completion of the Master Data Remodel; refer to the following FDS:
  - **C201 – Client Master Data Remodel – Contract Account Consolidation**
  - **C251 – Client Master Data Remodel - Contract Object Assignment, and**
  - **C252 – Client Master Data Remodel – Create Mapping Table for Conversion**
- Enhancements of master data objects as part of the wider Master Data Remodel; refer to FDS **E755 – Enhance Client Master Data Objects For Remodel**
  - Relocation of the Operating Name field from CA (current state) to the CO (future state)
  - Relocation of Program Account effective dates from the CA (current state) to the CO (future state)

#### 2.4.3 Run / Execution Dependencies

- Refer to cutover plan
- Conversion can only occur after (a) master data remodel and conversion (b) enhancements are complete to the master data objects based on enrolment data elements
- This master data conversion cannot be run in parallel with other master data conversions that update Brokers

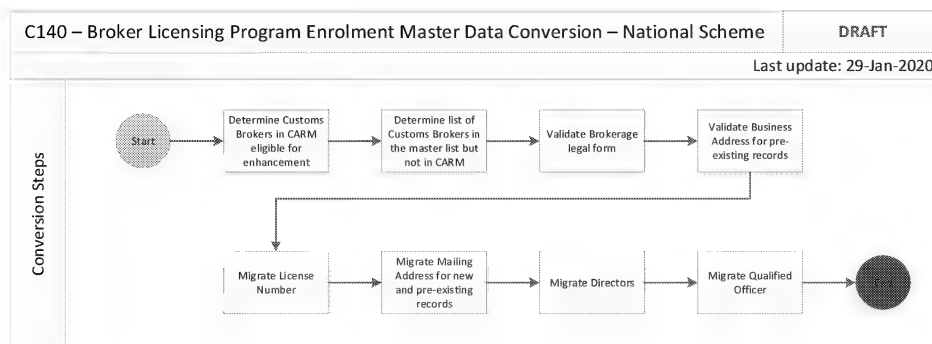
### 3 Detailed Design

#### 3.1 Detailed Design for National Licensing Scheme

##### 3.1.1 Mapping

The design details below should be followed to convert Broker Licensing master data elements from CRU's Broker Master List into CARM following the national licensing scheme, not regional (as it is currently). ~~\*important\* Therefore the data extract provided by the customs broker CRU should have consolidated broker licenses based on national licensing.~~ The subsections, further below, containing these details are broken up into the following sections and subsections:

- Determine the Legal Entity/Business Partner for each Broker and identify valid Contract Objects eligible for enhancement ~~Determine active Customs Broker master records in CARM eligible for enhancement (see 3.1.1)~~
- Determine list of Customs Brokers in the Broker Master List but not in CARM
- Validate Brokerage legal form
- Validate Business Address for pre-existing records
- Migrate License Number
- Migrate Mailing Address for new and pre-existing records
- Migrate Directors
- Migrate Qualified Officer



**NOTE 1:** As a pre-requisite to the overall conversion activity defined in this document, the CRU Business Team needs to make the data extract available for validation, transformation and migration into CARM. While CARM technical design recommends CSV format for data extracts, the format of data extract file (flat file, CSV, tab delimited, etc.) can be confirmed upon discussion with the CARM Technical Team and CRU Business Team. For schema of the sections and individual field elements refer to the mapping spreadsheet below (directly above Section 3.1.2).

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**NOTE 2:** A small number of TCPs have multiple Broker Program Accounts/Contract Objects/BN15s in CARM associated to their Legal Entity/Business Partner/BN9. For these TCPs any changes made to one of the Contract Objects (CO) should be done for all remaining Contract Objects. For example:

- If CO1 has its Business Address validated, CO2 through CO(n) should have its Business Address validated as well
- If CO1 has a Broker License Number & effective/expiry dates migrated, CO2 through CO(n) should also receive the same data
- If CO1 has a Mailing Address migrated, CO2 through CO(n) should also receive the same exact Mailing Address

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### 3.1.1.1 Determine the Legal Entity/Business Partner for each Broker and identify valid Contract Objects eligible for enhancement

- Determine the Legal Entity/Business Partner (BP) for each Broker by taking the BN9 value from License sheet and passing it to BUT000-BPEXT, then return BUT000-PARTNER
- Then pass the BUT000-PARTNER value to DPSOB BP ACC-PARTNER and return all DPSOB BP ACC-PSOBKEY to determine all of that BP's Contract Objects (COs)
- Pass all DPSOB BP ACC-PSOBKEY values to DPSOB-PSOBKEY and return all resultant DPSOB-PSOBKEY values and filter PSOBTYP by "BRO" to remove all non-Broker COs
- Remove invalid Broker COs through the following operations:
  - Generate a list of all COs where XDELE = X
  - Generate a list of all COs where LEGACYOBJK1 = [xxxxxxxxRMxxxx]X (as in, the BN15 has an "X" at the end of the 15-character value)
  - Generate a list of all COs where XDELE = X and LEGACYOBJK1 = [xxxxxxxxRMxxxx]X
- Remove any other invalid Broker COs by passing the CO number remaining from the previous activity to DPSOB BP ACC-PSOBKEY
  - Generate a list of all COs where XOBSL = X
  - Generate an Excel list of all unique CO numbers identified by filtering from DPSOB & DPSOB BP ACC
  - Generate an Excel list these CO numbers with the reason code "The following Broker COs are inactive and will not be enhanced." and do not process further. This list will serve an informational purpose to the CRU to declare which Customs Brokers which will not be enhanced by virtue of being inactive.

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### 3.1.1.1 Determine active Customs Broker License-master records in CARM eligible for enhancement

- List all CO numbers (field "PSOBKEY") in SAP table "DPSOB" where DPSOB-PSOBTYP = BRO (Broker)
  - Generate a list of all COs where XDELE = X
  - Generate a list of all COs where LEGACYOBJK1 = [5-digit number]X (as in, the ASEC number has an "X" at the end of the 5-digit number)

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				Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
				1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
				2040	Broker 2	Address 2	City 2	ZZ	X1Y 2Z3

- Match all "Broker's name" column values from the RPP sheet (green box) to the "Broker's name" column of the License sheet (red box) (assumption is that with National Licensing, multiple entries on the License tab for a given Customs Broker will consolidate to one entry. Therefore there would be a many:1 relation between entries in the RPP tab and Licence Tab, i.e. every entry in the RPP tab should have at least one entry on the License tab).

- Generate a list of unmatched "Broker's name" values with reason code "The following Broker names were not found in the Broker License sheet." and do not process further.

AS No	Customs Brokers on RPP Program	Brokers at \$10,000,000. CAP	Brokers' Name	Street address	City	Prov	PC
13193	1	0	Broker 1	Address 1	City 1	ZZ	A1B 2C3
17848	1	1	Broker 2	Address 2	City 2	ZZ	X1Y 2Z3

				Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
				1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
				2040	Broker 2	Address 2	City 2	ZZ	X1Y 2Z3

- In every row where there is a Broker name match (green box), pass the PARTNER, PARTNERACC, PSOBKEY, and LEGACYOBJK3 values to the BP column, CA column, CO column, and ASEC column, respectively (green boxes)

				Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
11009962	1001053112	12000000377	13193	1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
10989410	1001055659	12000000432	17848	2040	Broker 2	Address 2	City 2	ZZ	X1Y 2Z3

- Generate an Excel list of all records in the License sheet that do not have a BP at the end of this activity with reason code "The following Broker licenses have no Legal Entity records in CARM." and do not process these License records further.

- End of step 3.1.2 will provide to the business (CRU for Customs Brokers) a list of:
  - ~~Matches found (on ASEC Number) between existing Customs Brokers records in CARM and the RPP tab of the Broker License Sheet → these records will be updated in CARM~~
  - ~~Exception records where an Customs Broker master data record is found in CARM but not on the RPP tab of Broker License Sheet → these records will not be updated since records do not exist in the Broker License sheet~~
  - ~~Matches found (by matching on street address) between the RPP tab and License tab of the Broker License sheet → these Customs Brokers records will be updated in CARM with data from both the License tab and RPP tab (i.e. the fully updated records will be in CARM)~~
  - ~~Exception records where a record was found in the RPP tab but not in the License tab of the Broker License Sheet → this implies the records is both in CARM and the RPP tab of the spreadsheet, but not found in the Licence tab, therefore data from the License tab is not available to update the Customs Broker record in CARM~~

#### 3.1.1.333.1.1.2 **Validate Brokerage legal form**

- Rename the “Corporation Partnership Sole Proprietorship” column in the License sheet as “Legal form”
- For each record in the License sheet, return the value in the “Legal form” column and transform the value using the “Legal Forms” table found in the “Look up tables” sheet of this document’s Mapping Sheet (directly above Section 3.1.2)
- For each record in the License sheet, pass the Broker’s BP number to SAP table-field “BUT000-PARTNER” and return field “LEGAL\_ENTY”
- Compare both values
  - If there is a match, end operation
  - If there is not a match, create an exception record with reason code stating “The following BPs’ legal forms do not match values in the Broker Master List.” however still continue processing as this is not a fatal error.

#### 3.1.1.343.1.1.3 **Validate Business Address**

- Rename the first and second “PC” columns in the License sheet as “Street address – PC Business” and “Mailing address – PC-Mailing”, respectively
- ~~Concatenate-Derive each the ASEC number for the Broker Contract Object and concatenate it with from the ASEC column with “-0001” and then pass to SAP table-field “BUT020-ADEXT” and to return the address number, field “ADDRNUMBER”. ASEC number can be derived as follows:~~
  - ~~Where DFACTS-OBJID = [9 zero’s][CO number]~~
  - ~~Where DFACTS-FACT SET = “ZBROKR”~~
  - ~~Where DFACTS-FACT TYPE = “ZBROSEC”~~
  - ~~Where DFACTS-FACT TYP SEQ = “10”~~
  - ~~Where DFACTS-FACT CATEGORY = “Z010”~~

- Where DFACTS-FACT CAT SEQ = "0510"
- ASEC Number is the number in field DFACTS-VALUE GENERIC

- 
- Pass ADDRNUMBER to SAP table-field "ADRC-ADDRNUMBER" and return field "POST\_CODE1"
- Compare value from POST\_CODE1 with the value in the "PC Business" column
  - If matched, end operation
  - If mismatched, create an exception record with reason code "Business address for existing Broker license record does not match Broker Master List." however still continue processing as this is not a fatal error.

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#### 3.1.1.363.1.1.4 **Migrate License Number**

- For each row in the License sheet, pass the value in the "License Number" column to SAP table-field "DPSOB\_BP\_ACC-LEGACYOBJ3DFACTS-VALUE GENERIC". This requires the necessary configuration to be completed.

**Commented [S11]:** This section has been updated after ISTB review but the changes do not impact the fundamental solution.

Commented [S11]: This section has been updated after ISTB review but the changes do not impact the fundamental solution.

- Where DFACTS-OBJID = [9 zero's][CO number]
- Where DFACTS-FACT SET = "ZBROKR"
- Where DFACTS-FACT TYPE = "ZLIC"
- Where DFACTS-FACT TYP SEQ = "10"
- Where DFACTS-FACT CATEGORY = "Z010"
- Where DFACTS-FACT CAT SEQ = "10"
- License Number should be stored in field DFACTS-VALUE GENERIC
  - Set "License effective date" in DFACTS-VALID FROM
  - Set "License effective date" in DFACTS-VALID TO

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- Where DPSOB\_BP\_ACC-PSOBKEYDFACTS-OBJID = [CO number]
- Where DFACTS-FACT TYPE = "ZBRO"
- Where DFACTS-FACT CATEGORY = "Z010"
- Where DFACTS-FACT CAT SEQ = "01"
- Set "License effective date" in "DFACTS-VALUE GENERIC" = [Current date]
  - Where DFACTS-FACT CATEGORY = "0004"
  - Where DFACTS-FACT CAT SEQ = "02"
- Set "License expiry date" in "DFACTS-VALUE GENERIC" = "31129999"
  - Where DFACTS-FACT CATEGORY = "0004"
  - Where DFACTS-FACT CAT SEQ = "03"

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- Then repeat this operation by passing "License Number" to SAP table-field "BUTOID-IDNUMBER". This requires the necessary configuration to be completed.

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- Where BUTOID-PARTNER = [BP number]
- Where BUTOID-TYPE = BROLIC
- Where BUTOID-VALID\_DATE\_FROM = [Current date]
- Where BUTOID-VALID\_DATE\_TO = 9999.12.31

Commented [R44]: For the we have captured this in the configuration section and also for in make it clearly write in brackets ( "Configuration Required" )

#### 3.1.1.363.1.1.5 Migrate Mailing Address for new and pre-existing records

- Rename the following columns in the source file as follows:
  - "City" columns to "Street address – City" and "Mailing address – City"
  - "Prov" columns to "Street address – Prov" and "Mailing address – Prov"
- Create address record in SAP table "BUT020" and return resultant Mailing Address record number, field "ADDRNUMBER"; this will be used to create records in SAP table ADRC
  - Where PARTNER = BP number
  - Set ADEXT as "[Broker license number/ASEC number]-0002" in SAP table "BUT020". The ASEC number can be derived from DFACTS-VALUE\_GENERIC as follows:
    - Where DFACTS-OBJID = [CO number]
    - Where DFACTS-FACT\_TYPE = "ZBRO"
    - Where DFACTS-FACT\_CATEGORY = "Z010"
    - Where DFACTS-FACT\_CAT\_SEQ = "05"
    - \* For example: 123-0002 or 1234-0002
- Assign address type to address record in SAP table "BUT021\_FS"
  - Set ADR\_KIND to "MAILING-MAILING\_A" (Program Account mailing address)
    - Where PARTNER = BP number
    - Where ADDRNUMBER = Mailing Address record number
- Check for values in the "Mailing address – Line 1" column
  - If there are no values, duplicate Business Address as Mailing Address and end operation moving to the next, "Migrate Directors"
  - If there are values, continue operation
- Follow the transformation rules in the Mapping Sheet below to convert the values in the "Mailing address" columns into the following fields:
  - Mailing address – 1 → ADRC-STREET
  - Mailing address – 2 → ADRC-STR\_SUPPL1
  - Mailing address – 3 → ADRC-STR\_SUPPL2
- Pass the value in column "Mailing address – City" to SAP table-field "ADRC-CITY1"
- Set "ADRC-COUNTRY" to "CA" (Canada)

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- Pass the value in column “PC Business Mailing address – PC” to SAP table-field “ADR-POST\_CODE1”
- Pass the value in column “Tel #” to SAP table-field “ADR2-TEL\_NUMBER”
  - If more than one line of data exists, take first line only
  - If first line exceeds SAP field length limit, create exception record with reason code “Phone number entry too long, may contain extension number.” and do not process further.
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
- Pass the value in column “Fax #” to SAP table-field “ADR3-FAX\_NUMBER”
  - If more than one line of data exists, take first line only
  - If first line exceeds SAP field length limit, create exception record with reason code “Fax number entry too long, may contain extension number.” and do not process further.
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
- Pass the value in column “E-Mail Address” to SAP table-field “ADR6-SMTP\_ADDR”
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
- Pass the value in column “Website” to SAP table-field “ADR12-URI\_ADDR”
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
  - Where URI\_TYPE = “HPG” (Homepage (WWW))

### **3.1.1.373.1.1.6 Migrate Directors**

- For each row in the License sheet, check the “Directors” column for values
  - If there are no values, end operation
  - If there are values, continue operation and repeat this operation for each director listed
    - For example: If five (5) Directors are listed, repeat this operation five (5) times; once for each Director
- Create new Business Partner in SAP table “BUT000”
  - Where TYPE = “1” (Person)
- Follow the transformation rules in the Mapping Sheet below to convert the Director’s name for migration into SAP table “BUT000” into the following fields:
  - BUT000-NAME\_FIRST

- BUT000-NAME\_LAST
- Return resultant BP number, field “PARTNER”; this will be used to create records in SAP tables BUT100, BUT050, BUT051, and DFMCA\_BUPR\_TA2
- Set role in SAP table-field “BUT100-RLTYP” to “BUP001” (Contact Person)
  - Where PARTNER = BP number

NOTE: Refer to the Technical Details section of FDS E901 - Case Enhancement to Accommodate Web Based Program Enrollment for BAPIs that can potentially be used to create a Business Partner for the Directors.

- Associate the Director to the Broker by creating a BP Relationship record in SAP table “BUT050” and return “RELNR” BP Relationship Number
  - Set “PARTNER1” as Broker BP number
  - Set “RELTP” as “BUR001” (Has Contact Person)
  - Set “PARTNER2” as the Director’s BP number
  - Set “DATE\_TO” as “9999.12.31”
- Associate the Director to the Broker by creating a BP Relationship record in SAP table “BUT051”
  - Where “RELNR” is the BP relationship number generated above
  - Set “PARTNER1” as Broker BP number
  - Set “RELTP” as “BUR001” (Has Contact Person)
  - Set “PARTNER2” as the Director’s BP number
  - Set “PAFKT” as “ZCON” (Contact Person)
  - Set “DATE\_TO” as “9999.12.31”
  - Set “PAREM” to [Broker license number]
- Associate the Director to the Broker by creating a BP Relationship record in SAP table “DFMCA\_BUPR\_TA2”
  - Where “RELNR” is the BP relationship number generated above
  - Set “PARTNER2” as the Broker BP number
  - Set “VKONT\_S” as the Broker’s Contract Account
  - Set “PSOBKEY\_S” as the Broker Contract Object
  - Set “DATE\_TO” as “9999.12.31”
  - Set DATE\_FROM as “[Current Date]”

NOTE: Refer to the Technical Details section of FDS I651 - Interface to Replicate Delegation (BN9-BN15) in PSCD MD for BAPIs that can potentially be used to create the BP-to-BP relationship between the Broker and the Director.

### **3.1.1.383 1.1.7 Migrate Qualified Officer**

- For each row in the License sheet, check the “Qualified Officers” column for values
  - If there are no values, end operation

- If there are values, continue operation
- Create new Business Partner in SAP table "BUT000"
  - Where TYPE = "1" (Person)
- Follow the transformation rules in the Mapping Sheet below to convert the Qualified Officer's name for migration into SAP table "BUT000" into the following fields:
  - BUT000-NAME\_FIRST
  - BUT000-NAME\_LAST
- Return resultant BP number, field "PARTNER"; this will be used to create records in SAP tables BUT100, BUT020, BUT021\_FS, BUT050, BUT051, and DFMCA\_BUPR\_TA2
- Set role in SAP table-field "BUT100-RLTYP" to "BUP001" (Contact Person)
  - Where PARTNER = BP number
- Create address record in SAP table "BUT020" and return resultant Qualified Officer Address record number, field "ADDRNUMBER"; this will be used to create records in SAP tables ADR2 and ADR6
  - Where PARTNER = BP number
- Assign address type to address record in SAP table "BUT021\_FS"
  - Set ADR\_KIND to "QUALOFFCER" (Qualified Officer Address)
    - Where PARTNER = BP number
    - Where ADDRNUMBER = Qualified Officer Address record number
- Migrate Qualified Officer email address to SAP table ADR6
  - Pass License number to Broker Master List column "License Number" and return value in column "Qualified Officer Email"
  - Pass value to ADR6-SMTP\_ADDR
  - Where ADR6-ADDRNUMBER is the Qualified Officer's address number

NOTE: Refer to the Technical Details section of FDS E901 - Case Enhancement to Accommodate Web Based Program Enrollment for BAPIs that can potentially be used to create a Business Partner for the Qualified Officer.

- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table "BUT050" and return "RELNR" BP Relationship Number
  - Set "PARTNER1" as Broker BP number
  - Set "RELTP" as "BUR001" (Has Contact Person)
  - Set "PARTNER2" as the Qualified Officer's BP number
  - Set "DATE\_TO" as "9999.12.31"
- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table "BUT051"
  - Where "RELNR" is the BP relationship number generated above

- Set "PARTNER1" as Broker BP number
- Set "RELTYP" as "BUR001" (Has Contact Person)
- Set "PARTNER2" as the Qualified Officer's BP number
- Set "PAFKT" as "ZCON" (Contact Person)
- Set "DATE\_TO" as "9999.12.31"
- Set "PAREM" to [Broker license number]
- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table "DFMCA\_BUPR\_TA2"
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER2" as the Broker BP number
  - Set "VKONT\_S" as the Broker's Contract Account
  - Set "PSOBKEY\_S" as the Broker Contract Object
  - Set "DATE\_TO" as "9999.12.31"
  - Set DATE\_FROM as "[Current Date]"

NOTE: Refer to the Technical Details section of FDS I651 - Interface to Replicate Delegation (BN9-BN15) in PSCD MD for BAPIs that can potentially be used to create the BP-to-BP relationship between the Broker and the Qualified Officer.



### 3.1.2 Filtering Requirement

- The CRU Business Team is responsible for data extraction, filtering and validation
  - During successive Mock Cutovers (MC), the CBSA will need to note the additional data filtering requirements that arise from the previous MC(s) in order to approach 100% compatibility with each new MC
- ASEC numbers found in CARM that are not in the format of "abcde" (for example: 12345) will have to be processed on a case by case basis manually
- All exception records must be processed before the next conversion run to ensure same errors are not repeated:
  - Source file clean up: clean records in source file (Broker Master List)
  - Target system clean up: in some instances the target system (CARM) may need updates
- The below table identifies which fields will be migrated into CARM and which fields from the Broker Master List may be Personal Identifiable Information (PII). This should be taken into consideration for de-personalization of data prior to testing.

#	Description	Data migration target in CARM	PII? (Y/N)
<hr/>			
Document #: 30357613		Version: v1	
Date: December 21, 2021 May 28, 2020 May 12, 2020 March 11, 2020		Status: Draft	
		Page 24	

1	# of LIC	Not required in CARM; administrative data	No
2	License NUMBER	Master data	No
3	Brokers' Name	Already in CARM master data	No
4	Street address (ADRC-STREET ADRC-STR_SUPPL1 ADRC-STR_SUPPL2 ADRC-STR_SUPPL3)	Master data Already in CARM master data	Yes
5	Street address - City (ADRC-CITY1)	Master data Already in CARM master data	Yes
6	Street address - Prov (ADRC-REGION)	Master data Already in CARM master data	Yes
7	Street address - PC (ADRC-POST_CODE1)	Master data Already in CARM master data; will be validated between Broker Master List and CARM	Yes
8	Corporation Partnership Sole Proprietorship Legal form	Already in CARM master data; will be validated between Broker Master List and CARM	No
9	Mailing Address (ADRC-STREET ADRC-STR_SUPPL1 ADRC-STR_SUPPL2 ADRC-STR_SUPPL3)	Master data	Yes
10	Mailing address - City (ADRC-CITY1 ADRC-REGION)	Master data	Yes
11	Mailing address - PC (ADRC-POST_CODE1)	Master data	Yes
12	Tel # (ADR2-TEL_NUMBER ADR2-TEL_EXTENS)	Master data	Yes
13	Fax # (ADR3-FAX_NUMBER ADR3-FAX_EXTENS)	Master data	Yes
14	Toll free tel	Not required in CARM	No
15	Other or Toll free fax	Not required in CARM	No
16	E-Mail Address (ADR6-SMTP_ADDR)	Master data	Yes
17	Website	Master data	No
18	Directors (DFACTS-VALUE_GENERIC)	Master data	Yes
19	Qualified Officer (BUT000-NAME_FIRST BUT000-NAME_LAST)	Master data	Yes
20	Qualified Officer Email (ADR6-SMTP_ADDR)	Master data	Yes

### 3.1.3 Verification & Reconciliation Procedure

#### 3.1.3.1 Tables

##### 3.1.3.1.1 BUT000

- To verify the Qualified Officer's first and last names were migrated properly
  - Where PARTNER = the BP number generated for the Qualified Officer
- To verify the Directors' first and last names were migrated properly
  - Where PARTNER = the BP number generated for each Director

##### 3.1.3.1.2 BUT020

- To verify an address has been created for the Qualified Officer
  - Where PARTNER = the BP number generated for the Qualified Officer

##### 3.1.3.1.3 BUT021\_FS

- To verify the Business Address has been assigned the correct address type
- To verify the Mailing Address has been assigned the correct address type
- To verify the Qualified Officer has been assigned the correct address type

##### 3.1.3.1.4 BUT050

- To verify a BP-to-BP relationship between the Broker and the Qualified Officer has been created
  - Where "PARTNER1" is the Broker's BP number
  - Where "PARTNER2" is the Qualified Officer's BP number

##### 3.1.3.1.5 BUT051

- To verify a Contact Person-type relationship between the Broker and the Qualified Officer has been created
  - Where "PARTNER1" is the Broker's BP number
  - Where "PARTNER2" is the Qualified Officer's BP number

##### 3.1.3.1.6 BUT100

- To verify the Qualified Officer has been assigned the Contact Person role (BUP001) and not the Contract Partner Role (MKK)
  - Where PARTNER = the BP number generated for the Qualified Officer
- To verify the Directors have been assigned the Contact Person role (BUP001) and not the Contract Partner Role (MKK)
  - Where PARTNER = the BP number generated for each Director

#### 3.1.3.1.7 DFMCA\_BUPR\_TA2

- To verify the correct Contract Object has been designated as part of the BP-to-BP relationship between the Broker and the Qualified Officer
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER2" as the Broker BP number

#### 3.1.3.1.8 ADRC

- To verify the address (fields "STREET" & "STR\_SUPPL1" & "STR\_SUPPL2"), postal code (field "POST\_CODE1"), city (field "CITY1"), province/state (field "REGION"), and country (field "COUNTRY") of the ~~Business & Mailing Addresses~~ Address have has been migrated properly
  - Where ADDRNUMBER = the Address Number generated for the Broker Mailing Addresses above
  - ~~NOTE: If a Mailing Address creating using values from the Broker Master List, only fields "STREET" & "STR\_SUPPL1" & "STR\_SUPPL2" will be populated.~~

#### 3.1.3.1.9 ADR2

- To verify the phone number, field "TEL\_NUMBER", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.1.3.1.10 ADR3

- To verify the fax number, field "FAX\_NUMBER", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.1.3.1.11 ADR6

- To verify the email address, field "SMTP\_ADDR", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address
- To verify the email address, field "SMTP\_ADDR", of the Qualified Officer has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Qualified Officer

#### 3.1.3.1.12 ADR12

- To verify the website, field "URI\_ADDR", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.1.3.1.13 DFACTS

- To verify Broker License number has been migrated
  - License number

- Where DFACTS-OBART = "CO"
- Where DFACTS-OBJID = "00000000[CO number]"
  - ~~Derive by passing sublocation number to "DPSOB\_BP\_ACC\_LEGACYOBJK3" and returning "PSOBKEY"~~
- Where DFACTS-FACT\_SET = "ZBROKR"
- Where DFACTS-FACT\_TYPE = "ZBRLZBRO"
- ~~Where DFACTS-FACT\_CAT\_SEQ = "10", and~~
- ~~DFACTS-FACT\_CATEGORY = "0001"~~

### 3.1.3.2 Transactions

#### 3.1.3.2.1 FPP3: Address Overview tab and Relationships screen

- To view the Program Account Business Address (only for new Contract Objects) and Mailing Address in the Address Overview tab
- To view the BP relationship between the Broker and the Qualified Officer and Directors in the Relationships screen

#### 3.1.3.2.2 VAP3: Address & Address Overview tabs and Relationships screen

- To view the Qualified Officer's name, contact information and relationship to the Broker
- To view the Directors' names and relationship to the Broker
- ~~To view the Qualified Officer & their contact information in the Address Overview tab and BP relationship to Broker in the Relationships screen~~
- ~~To view the Directors and BP relationship to Broker in the Relationships screen~~

#### 3.1.3.2.3 PSOBDISPLAY: Facts area

- To view the following groups of information in the Broker Facts area
  - Broker license number
  - License effective date
  - License expiry date
  - ~~List of the Broker's directors~~

### 3.1.4 Additional Information

- All exceptions records lists should be collected into a single exception file. Afterwards, each single exception case should be dealt one at a time to resolve.
- ~~Due to the unstructured nature of mailing addresses in the Broker Master List, parsed values will only be moved to street address fields in SAP table "ADRC" (Addresses). That is, provinces and other non-street address-type data will not be automatically sorted into the appropriate fields~~

as the source file does not have limits or controls (to be expected with Microsoft Excel file). TCPs and/or the CBSA will have the opportunity to correct any issues after CARM R2 go live through the External Portal and Internal Portal, respectively.

### 3.1.5 Testing Scenarios

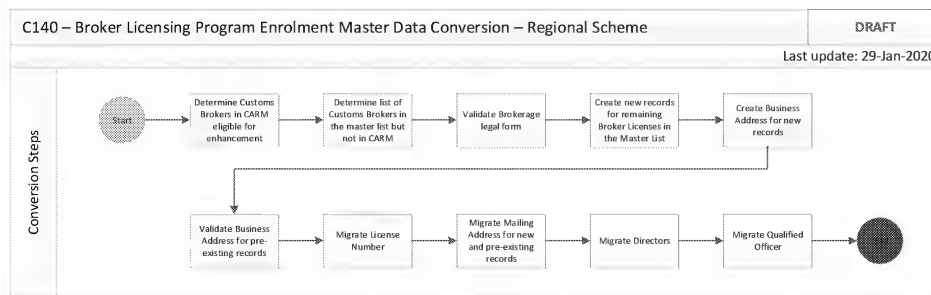
Test	Expected Result(s)
<ul style="list-style-type: none"> <li>If a new Business Address was created using the "Street Address" &amp; related values from the Broker Master List, verify that all lines of data from the source were parsed properly</li> </ul>	<ul style="list-style-type: none"> <li>Address line and postal code fields are filled</li> <li>Source and value data is an exact match</li> <li>Business Address external ID is [Broker license number]-0001</li> </ul>
<ul style="list-style-type: none"> <li>If Mailing Address was duplicated, compare pre-existing Business Address and newly created Mailing Address</li> </ul>	<ul style="list-style-type: none"> <li>Both addresses have the same fields filled out</li> <li>All fields are exact matches</li> <li>Mailing Address external ID is [Broker license number]-0002</li> </ul>
<ul style="list-style-type: none"> <li>If a new Mailing Address was created using the "Mailing Address" &amp; related values from the Broker Master List, verify that all lines of data from the source were parsed properly</li> </ul>	<ul style="list-style-type: none"> <li>Address line and postal code fields are filled</li> <li>Source and value data is an exact match</li> <li>Mailing Address external ID is [Broker license number]-0002</li> </ul>
<ul style="list-style-type: none"> <li>Test to ensure the Qualified Officer's first and last names were parsed properly and migrated to the first and last name fields as well as their email address</li> </ul>	<ul style="list-style-type: none"> <li>Qualified Officer's name has been parsed properly into the first and last name fields</li> <li>Qualified Officer's email address is available and correct</li> </ul>
<ul style="list-style-type: none"> <li>Test to ensure the Directors' first and last names were parsed properly and migrated to the first and last name fields</li> </ul>	<ul style="list-style-type: none"> <li>Directors' names have been parsed properly into the first and last name fields</li> </ul>
<ul style="list-style-type: none"> <li>Broker license number is available and correct</li> </ul>	<ul style="list-style-type: none"> <li>License number is available</li> </ul>

## 3.2 Detailed Design for Regional Licensing Scheme

### 3.2.1 Mapping – Regional Licensing Scheme

The design details below should be followed to convert Broker Licensing master data elements from CRU's Broker Master List into CARM following the regional licensing scheme, not national. The subsections, further below, containing these details are broken up into the following sections and subsections:

- Determine active Customs Broker master records in CARM eligible for enhancement (see 6.1.1)
- Determine list of Customs Brokers in the Broker Master List but not in CARM
- Validate Brokerage legal form
- Create new records for remaining Broker Licenses in the Broker Master List
- Business Address
  - Validate Business Address for pre-existing records
  - Create Business Address for new records
- Migrate License Number
- Migrate Mailing Address for new and pre-existing records
- Migrate Directors
- Migrate Qualified Officer



As a pre-requisite to the overall conversion activity defined in this document, the CRU Business Team needs to make the data extract available for validation, transformation and migration into CARM. While CARM technical design recommends CSV format for data extracts, the format of data extract file (flat file, CSV, tab delimited, etc.) can be confirmed upon discussion with the CARM Technical Team and CRU Business Team. For schema of the sections and individual field elements refer to the mapping spreadsheet below (directly above Section 3.2.2).

### 3.2.1.1 Determine active Customs Broker license master records in CARM eligible for enhancement

- List all CO numbers (field “PSOBKEY”) in SAP table “DPSOB” where DPSOB-PSOBTYP = BRO (Broker)
  - Generate a list of all COs where XDELE = X
  - Generate a list of all COs where LEGACYOBJK1 = [5-digit number]X (as in, the ASEC number has an “X” at the end of the 5-digit number)
  - Generate a list of all COs where XDELE = X and LEGACYOBJK1 = [5-digit number]X

- Page 31

					License NUMBER	Brokers' Name	Street address	City	Prov	PC
28					1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
					1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
					1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
					1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
					1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
					1998	Broker 1	Address 6	City 6	ZZ	A1B 2C4
					2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
					2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
					1988	Broker 1	Address 9	City 9	ZZ	A4B 2C4
					1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
					2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
					2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
					2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
					2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
					3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
					2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
					2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
					2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
					2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
					2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
					2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
					1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
					1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
					3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
					3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
					2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
					2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
					2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

- Match all "Street address" column values from the RPP sheet (green box) to the "Street address" column of the License sheet (red box)
  - Generate a list of unmatched "Street address" values with reason code "The following street addresses were not found in the Broker License sheet." and do not process further.

AS No	Customs Brokers on RPP Program	Brokers at \$10,000,000. CAP	Brokers' Name	Street address	City	Pro v	PC	Mailing Address	City	PC	QO E- mail
13193	1	0	Broker 1	Address 1	City 1	ZZ	A1B 2C3				
10026	0	0	Broker 1	Address 2	City 2	ZZ	A2B 2C3				
10827	0	1	Broker 1	Address 3	City 3	ZZ	A3B 2C3				
10280	0	0	Broker 1	Address 4	City 4	ZZ	A4B 2C3				
10043	0	0	Broker 1	Address 5	City 5	ZZ	A5B 2C3	P.O. Box 99	City 5 ZZ	A5B 2C3	

					Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
28					1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
					1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
					1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
					1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
					1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
					1998	Broker 1	Address 6	City 6	ZZ	A1B 2C4
					2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
					2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
					1988	Broker 1	Address 9	City 9	ZZ	A4B 2C4
					1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
					2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
					2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
					2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
					2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
					3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
					2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
					2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
					2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
					2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
					2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
					2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
					1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
					1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
					3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
					3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
					2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
					2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
					2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

- In every row where there is a Street address match (green box), pass the PARTNER, PARTNERACC, PSOBKEY, and LEGACYOBJK3 values to the BP column, CA column, CO column, and ASEC column, respectively (green boxes)

					Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
28	11009962	1001053112	12000000377	13193	1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
					1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
					1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
	11009962	1001053112	12000000248	110627	1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
	11009962	1001053112	12000000263	110043	1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
					1998	Broker 1	Address 6	City 6	ZZ	A1B 2C4
					2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
					2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
					1988	Broker 1	Address 9	City 9	ZZ	A4B 2C4
	11009962	1001053112	12000001020	110280	1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
					2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
					2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
					2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
					2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
					3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
					2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
					2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
					2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
					2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
					2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
					2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
					1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
	11009962	1001053112	12000000298	110026	1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
					3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
					3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
					2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
					2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
					2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

- Parse the Broker's name column vertically in the License sheet and for every exact match of Broker name, pass the PARTNER and PARTNERACC values to the BP column and CA column respectively

					License NUMBER	Brokers' Name	Street address	City	Prov.	PC
28	1009962	1001053112	12000000377	13193	1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
	1009962	1001053112			1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
	1009962	1001053112			1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
	1009962	1001053112	12000000248	10527	1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
	1009962	1001053112	12000000263	10043	1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
	1009962	1001053112			1998	Broker 1	Address 6	City 6	ZZ	A1B 2C4
	1009962	1001053112			2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
	1009962	1001053112			2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
	1009962	1001053112			1988	Broker 1	Address 9	City 9	ZZ	A4B 2C4
	1009962	1001053112	12000001020	10280	1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
	1009962	1001053112			2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
	1009962	1001053112			2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
	1009962	1001053112			2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
	1009962	1001053112			2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
	1009962	1001053112			3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
	1009962	1001053112			2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
	1009962	1001053112			2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
	1009962	1001053112			2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
	1009962	1001053112			2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
	1009962	1001053112			2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
	1009962	1001053112			2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
	1009962	1001053112			1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
	1009962	1001053112	12000000298	10026	1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
	1009962	1001053112			3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
	1009962	1001053112			3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
	1009962	1001053112			2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
	1009962	1001053112			2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
	1009962	1001053112			2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

**NOTE FOR ILLUSTRATION:** Livingston has 28 licenses. 5 of those 28 have RPP records in the RPP sheet and in CARM. This entire activity allows us to use the ASEC number found in DPSOB\_BP\_ACC to “retrace the steps” back to the RPP sheet, then retrace further back to the License sheet by matching street address. Once there, we want to identify the remaining 23 Licenses that Livingston has that need to be identified distinctively. For this reason, we are adding the BP number to each row to help create groups of licenses that fall under a single BP by using exact matches in the Broker name column.

- Generate an Excel list of all records in the License sheet that do not have a BP at the end of this activity with reason code “The following Broker licenses have no Legal Entity records in CARM.” and do not process these License records further.
- This list is for informational purposes to the CRU business user/unit to inform them of the Customs Brokers that will not be enhanced by virtue of their being inactive.

### 3.2.1.3 Validate Brokerage legal form

- Rename the “Corporation Partnership Sole Proprietorship” column in the License sheet as “Legal form”
- For each record in the License sheet, return the value in the “Legal form” column and transform the value using the “Legal Forms” table found in the “Look up tables” sheet of this document’s Mapping Sheet (directly above Section 3.2.2)
  - Parse the column vertically to ensure that for every record with the same BP number that the legal form is the same

- If a record is found with the same BP number but with a different legal form, generate an exception record stating “The following BP’s legal form has discrepancies within the Broker Master List itself.” and end operation moving to Section 3.2.1.4.
- For each record in the License sheet, pass the Broker’s BP number to SAP table-field “BUT000-PARTNER” and return field “LEGAL\_ENTY”
- Compare both values
  - If there is a match, end operation
  - If there is not a match, create an exception record with reason code stating “The following BPs’ legal forms do not match values in the Broker Master List.” however still continue processing as this is not a fatal error.

#### 3.2.1.4 Create new records for remaining Broker Licenses in the Broker Master List

- Create new Contract Objects for all Licences that are currently not in SAP; as in, they do not have a value in the CO column at the end of Section 3.2.1.2 (green boxes)
  - BAPI\_CTRACPSOJECT\_CREATE may be the correct BAPI for the activity
    - CO type should be “BRO” (Broker)
    - CO name should be Broker’s name from the License sheet’s “Broker’s name” column
    - BP should be Broker’s BP number from the License sheet’s BP column
    - CA type should be “BR” (Broker)
    - CA number should be the Broker’s CA number from the CO column

					Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
28	11009962	1001053112	12000000377	13193	1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
	11009962	1001053112			1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
	11009962	1001053112			1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
	11009962	1001053112	12000000248	10827	1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
	11009962	1001053112	12000000263	10043	1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
	11009962	1001053112			1996	Broker 1	Address 6	City 6	ZZ	A1B 2C4
	11009962	1001053112			2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
	11009962	1001053112			2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
	11009962	1001053112			1998	Broker 1	Address 9	City 9	ZZ	A4B 2C4
	11009962	1001053112	120000001020	10280	1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
	11009962	1001053112			2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
	11009962	1001053112			2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
	11009962	1001053112			2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
	11009962	1001053112			2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
	11009962	1001053112			3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
	11009962	1001053112			2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
	11009962	1001053112			2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
	11009962	1001053112			2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
	11009962	1001053112			2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
	11009962	1001053112			2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
	11009962	1001053112			2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
	11009962	1001053112			1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
	11009962	1001053112	12000000298	10026	1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
	11009962	1001053112			3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
	11009962	1001053112			3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
	11009962	1001053112			2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
	11009962	1001053112			2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
	11009962	1001053112			2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

- Pass the CO numbers of all the newly created COs to the CO column of the License sheet (red boxes)

					Licence NUMBER	Brokers' Name	Street address	City	Prov	PC
28	11009962	1001053112	12000000377	13193	1976	Broker 1	Address 1	City 1	ZZ	A1B 2C3
	11009962	1001053112	12000000378		1979	Broker 1	Address 2	City 2	ZZ	A2B 2C3
	11009962	1001053112	12000000379		1981	Broker 1	Address 3	City 3	ZZ	A3B 2C3
	11009962	1001053112	12000000248	10827	1992	Broker 1	Address 4	City 4	ZZ	A4B 2C3
	11009962	1001053112	12000000283	10043	1997	Broker 1	Address 5	City 5	ZZ	A5B 2C3
	11009962	1001053112	12000000284		1998	Broker 1	Address 6	City 6	ZZ	A1B 2C4
	11009962	1001053112	12000000285		2003	Broker 1	Address 7	City 7	ZZ	A2B 2C4
	11009962	1001053112	12000000286		2032	Broker 1	Address 8	City 8	ZZ	A3B 2C4
	11009962	1001053112	12000000287		1988	Broker 1	Address 9	City 9	ZZ	A4B 2C4
	11009962	1001053112	12000001020	10280	1985	Broker 1	Address 10	City 10	ZZ	A5B 2C4
	11009962	1001053112	12000001021		2020	Broker 1	Address 11	City 11	ZZ	A1B 2C5
	11009962	1001053112	12000001022		2023	Broker 1	Address 12	City 12	ZZ	A2B 2C5
	11009962	1001053112	12000001023		2024	Broker 1	Address 13	City 13	ZZ	A3B 2C5
	11009962	1001053112	12000001024		2025	Broker 1	Address 14	City 14	ZZ	A4B 2C5
	11009962	1001053112	12000001025		3220	Broker 1	Address 15	City 15	ZZ	A5B 2C5
	11009962	1001053112	12000001026		2009	Broker 1	Address 16	City 16	ZZ	A1B 2C6
	11009962	1001053112	12000001027		2010	Broker 1	Address 17	City 17	ZZ	A2B 2C6
	11009962	1001053112	12000001028		2013	Broker 1	Address 18	City 18	ZZ	A3B 2C6
	11009962	1001053112	12000001029		2015	Broker 1	Address 19	City 19	ZZ	A4B 2C6
	11009962	1001053112	12000001030		2016	Broker 1	Address 20	City 20	ZZ	A5B 2C6
	11009962	1001053112	12000001031		2017	Broker 1	Address 21	City 21	ZZ	A1B 2C7
	11009962	1001053112	12000001032		1983	Broker 1	Address 22	City 22	ZZ	A2B 2C7
	11009962	1001053112	12000000298	10026	1984	Broker 1	Address 23	City 23	ZZ	A3B 2C7
	11009962	1001053112	12000000299		3221	Broker 1	Address 24	City 24	ZZ	A4B 2C7
	11009962	1001053112	12000000300		3222	Broker 1	Address 25	City 25	ZZ	A5B 2C7
	11009962	1001053112	12000000301		2004	Broker 1	Address 26	City 26	ZZ	A1B 2C8
	11009962	1001053112	12000000302		2005	Broker 1	Address 27	City 27	ZZ	A2B 2C8
	11009962	1001053112	12000000303		2007	Broker 1	Address 28	City 28	ZZ	A3B 2C8

### 3.2.1.5 Business Address

#### 3.2.1.5.1 Validate Business Address for pre-existing records

- Rename the first and second "PC" columns in the License sheet as "PC Business" and "PC Mailing", respectively
- Concatenate each ASEC number from the ASEC column with "-0001" and pass to SAP table-field "BUT020-ADEXT" and return the address number, field "ADDRNUMBER"
- Pass ADDRNUMBER to SAP table-field "ADRC-ADDRNUMBER" and return field "POST\_CODE1"
- Compare value from POST\_CODE1 with the value in the "PC Business" column
  - If matched, end operation
  - If mismatched, create an exception record with reason code "Business address for existing Broker license record does not match Broker Master List." however still continue processing as this is not a fatal error.

#### 3.2.1.5.2 Create Business Address for new records

- Create address record in SAP table "BUT020" and return resultant Business Address record number, field "ADDRNUMBER"; this will be used to create records in SAP table ADRC
  - Where PARTNER = BP number
  - Set ADEXT as "[Broker license number]-0001" in SAP table "BUT020"
    - For example: 123-0002 or 1234-0001

- Assign address type to address record in SAP table “BUT021\_FS”
  - Set ADR\_KIND to “BUSINESS A” (Program Account business address)
    - Where PARTNER = BP number
    - Where ADDRNUMBER = Business Address record number
- Follow the transformation rules in the Mapping Sheet below to convert the values in the “Street address” column into the following fields:
  - ADRC-STREET
  - ADRC-STR\_SUPPL1
  - ADRC-STR\_SUPPL2
- Pass the value in column “City” to SAP table-field “ADRC-CITY1”
- Pass the value in column “Prov” to SAP table-field “ADRC-REGION” and set “ADRC-COUNTRY” to “CA” (Canada)
- Pass the value in column “PC Business” to SAP table-field “ADRC-POST\_CODE1”

#### 3.2.1.6 **Migrate License Number**

- For each row in the License sheet, pass the value in the “License Number” column to SAP table-field “DFACTS-VALUE\_GENERIC”
  - Where DFACTS-OBART = “CO”
  - Where DFACTS-OBJID = “000000000[CO number]” from the CO column of the License sheet
  - Where DFACTS-FACT\_SET = “ZBROKR”
  - Where DFACTS-FACT\_TYPE = “ZBRL”
  - Where DFACTS-FACT\_CAT\_SEQ = “10”
  - DFACTS-FACT\_CATEGORY = “0001”

#### 3.2.1.7 **Migrate Mailing Address for new and pre-existing records**

- Create address record in SAP table “BUT020” and return resultant Mailing Address record number, field “ADDRNUMBER”; this will be used to create records in SAP table ADRC
  - Where PARTNER = BP number
  - Set ADEXT as “[Broker license number]-0002” in SAP table “BUT020”
    - For example: 123-0002 or 1234-0002
- Assign address type to address record in SAP table “BUT021\_FS”
  - Set ADR\_KIND to “MAILING A” (Program Account mailing address)
    - Where PARTNER = BP number
    - Where ADDRNUMBER = Mailing Address record number
- Check for values in the “Mailing address” column

- If there are no values, duplicate Business Address as Mailing Address and end operation moving to the next, "Migrate Directors"
- If there are values, continue operation
- Follow the transformation rules in the Mapping Sheet below to convert the values in the "Mailing address" column into the following fields:
  - ADRC-STREET
  - ADRC-STR\_SUPPL1
  - ADRC-STR\_SUPPL2
- Pass the value in column "City" to SAP table-field "ADRC-CITY1"
- Set "ADRC-COUNTRY" to "CA" (Canada)
- Pass the value in column "PC Business" to SAP table-field "ADRC-POST\_CODE1"
- Pass the value in column "Tel #" to SAP table-field "ADR2-TEL\_NUMBER"
  - If more than one line of data exists, take first line only
  - If first line exceeds SAP field length limit, create exception record with reason code "Phone number entry too long, may contain extension number." and do not process further.
- Pass the value in column "Fax #" to SAP table-field "ADR3-FAX\_NUMBER"
  - If more than one line of data exists, take first line only
  - If first line exceeds SAP field length limit, create exception record with reason code "Fax number entry too long, may contain extension number." and do not process further.
- Pass the value in column "E-Mail Address" to SAP table-field "ADR6-SMTP\_ADDR"
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
- Pass the value in column "Website" to SAP table-field "ADR12-URI\_ADDR"
  - Where PARTNER = BP number
  - Where ADDRNUMBER = Mailing Address record number
  - Where URI\_TYPE = "HPG" (Homepage (WWW))

### 3.2.1.8 Migrate Directors

- For each row in the License sheet, check the "Directors" column for values
  - If there are no values, end operation
  - If there are values, continue operation and repeat this operation for each director listed
    - For example: If five (5) Directors are listed, repeat this operation five (5) times; once for each Director
- Create new Business Partner in SAP table "BUT000"
  - Where TYPE = "1" (Person)

- Follow the transformation rules in the Mapping Sheet below to convert the Director's name for migration into SAP table "BUT000" into the following fields:
  - BUT000-NAME\_FIRST
  - BUT000-NAME\_LAST
- Return resultant BP number, field "PARTNER"; this will be used to create records in SAP tables BUT100, BUT050, BUT051, and DFMCA\_BUPR\_TA2
- Set role in SAP table-field "BUT100-RLTYP" to "BUP001" (Contact Person)
  - Where PARTNER = BP number

NOTE: Refer to the Technical Details section of FDS E901 - **Case Enhancement to Accommodate Web Based Program Enrollment** for BAPIs that can potentially be used to create a Business Partner for the Directors.

- Associate the Director to the Broker by creating a BP Relationship record in SAP table "BUT050" and return "RELNR" BP Relationship Number
  - Set "PARTNER1" as Broker BP number
  - Set "RELTP" as "BUR001" (Has Contact Person)
  - Set "PARTNER2" as the Director's BP number
  - Set "DATE\_TO" as "9999.12.31"
- Associate the Director to the Broker by creating a BP Relationship record in SAP table "BUT051"
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER1" as Broker BP number
  - Set "RELTP" as "BUR001" (Has Contact Person)
  - Set "PARTNER2" as the Director's BP number
  - Set "PAFKT" as "ZCON" (Contact Person)
  - Set "DATE\_TO" as "9999.12.31"
  - Set "PAREM" to [Broker license number]
- Associate the Director to the Broker by creating a BP Relationship record in SAP table "DFMCA\_BUPR\_TA2"
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER2" as the Broker BP number
  - Set "VKONT\_S" as the Broker's Contract Account
  - Set "PSOBKEY\_S" as the Broker Contract Object
  - Set "DATE\_TO" as "9999.12.31"
  - Set DATE\_FROM as "[Current Date]"

NOTE: Refer to the Technical Details section of FDS I651 - **Interface to Replicate Delegation (BN9-BN15)** in PSCD MD for BAPIs that can potentially be used to create the BP-to-BP relationship between the Broker and the Director.

### 3.2.1.9 Migrate Qualified Officer

- For each row in the License sheet, check the “Qualified Officers” column for values
  - If there are no values, end operation
  - If there are values, continue operation
- Create new Business Partner in SAP table “BUT000”
  - Where TYPE = “1” (Person)
- Follow the transformation rules in the Mapping Sheet below to convert the Qualified Officer’s name for migration into SAP table “BUT000” into the following fields:
  - BUT000-NAME\_FIRST
  - BUT000-NAME\_LAST
- Return resultant BP number, field “PARTNER”; this will be used to create records in SAP tables BUT100, BUT020, BUT021\_FS, BUT050, BUT051, and DFMCA\_BUPR\_TA2
- Set role in SAP table-field “BUT100-RLTYP” to “BUP001” (Contact Person)
  - Where PARTNER = BP number
- Create address record in SAP table “BUT020” and return resultant Qualified Officer Address record number, field “ADDRNUMBER”; this will be used to create records in SAP tables ADR2 and ADR6
  - Where PARTNER = BP number
- Assign address type to address record in SAP table “BUT021\_FS”
  - Set ADR\_KIND to “QUALOFFCER” (Qualified Officer Address)
    - Where PARTNER = BP number
    - Where ADDRNUMBER = Qualified Officer Address record number
- Migrate Qualified Officer email address to SAP table ADR6
  - Pass License number to Broker Master List column “License Number” and return value in column “Qualified Officer Email”
  - Pass value to ADR6-SMTP\_ADDR
  - Where ADR6-ADDRNUMBER is the Qualified Officer’s address number

NOTE: Refer to the Technical Details section of FDS E901 - **Case Enhancement to Accommodate Web Based Program Enrollment** for BAPIs that can potentially be used to create a Business Partner for the Qualified Officer.

- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table “BUT050” and return “RELNR” BP Relationship Number
  - Set “PARTNER1” as Broker BP number
  - Set “RELTP” as “BUR001” (Has Contact Person)
  - Set “PARTNER2” as the Qualified Officer’s BP number
  - Set “DATE\_TO” as “9999.12.31”

- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table "BUT051"
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER1" as Broker BP number
  - Set "RELTYP" as "BUR001" (Has Contact Person)
  - Set "PARTNER2" as the Qualified Officer's BP number
  - Set "PAFKT" as "ZCON" (Contact Person)
  - Set "DATE\_TO" as "9999.12.31"
  - Set "PAREM" to [Broker license number]
- Associate the Qualified Officer to the Broker by creating a BP Relationship record in SAP table "DFMCA\_BUPR\_TA2"
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER2" as the Broker BP number
  - Set "VKONT\_S" as the Broker's Contract Account
  - Set "PSOBKEY\_S" as the Broker Contract Object
  - Set "DATE\_TO" as "9999.12.31"
  - Set DATE\_FROM as "[Current Date]"

NOTE: Refer to the Technical Details section of FDS I651 - **Interface to Replicate Delegation (BN9-BN15)** in PSCD MD for BAPIs that can potentially be used to create the BP-to-BP relationship between the Broker and the Qualified Officer.



Mapping.xlsx



Regional Licensing  
Sample Extract.xlsx

### 3.2.2 Filtering Requirement

- The CRU Business Team is responsible for data extraction, filtering and validation
  - During successive Mock Cutovers (MC), the CBSA will need to note the additional data filtering requirements that arise from the previous MC(s) in order to approach 100% compatibility with each new MC
- ASEC numbers found in CARM that are not in the format of "abcde" (for example: 12345) will have to be processed on a case by case basis manually
- All exception records must be processed before the next conversion run to ensure same errors are not repeated:
  - Source file clean up: clean records in source file (Broker Master List)
  - Target system clean up: in some instances the target system (CARM) may need updates

- The below table identifies which fields will be migrated into CARM and which fields from the Broker Master List may be Personal Identifiable Information (PII). This should be taken into consideration for de-personalization of data prior to testing.

#	Description	Data migration target in CARM	PII? (Y/N)
1	# of LIC	Not required in CARM; administrative data	No
2	License NUMBER	Master data	No
3	Brokers' Name	Already in CARM master data	No
4	Street address (ADRC-STREET ADRC-STR_SUPPL1 ADRC-STR_SUPPL2 ADRC-STR_SUPPL3)	Master data	Yes
5	City (ADRC-CITY1)	Master data	Yes
6	Prov (ADRC-REGION)	Master data	Yes
7	PC (ADRC-POST_CODE1)	Master data	Yes
8	Corporation Partnership Sole Proprietorship	Already in CARM master data	No
9	Mailing Address (ADRC-STREET ADRC-STR_SUPPL1 ADRC-STR_SUPPL2 ADRC-STR_SUPPL3)	Master data	Yes
10	City (ADRC-CITY1 ADRC-REGION)	Master data	Yes
11	PC (ADRC-POST_CODE1)	Master data	Yes
12	Tel # (ADR2-TEL_NUMBER ADR2-TEL_EXTENS)	Master data	Yes
13	Fax # (ADR3-FAX_NUMBER ADR3-FAX_EXTENS)	Master data	Yes
14	Toll free tel	Not required in CARM	No
15	Other or Toll free fax	Not required in CARM	No
16	E-Mail Address (ADR6-SMTP_ADDR)	Master data	Yes
17	Website	Master data	No
18	Directors (DFACTS-VALUE_GENERIC)	Master data	Yes
19	Qualified Officer (BUT000-NAME_FIRST BUT000-NAME_LAST)	Master data	Yes
20	Qualified Officer Email (ADR6-SMTP_ADDR)	Master data	Yes

### 3.2.3 Verification & Reconciliation Procedure

#### 3.2.3.1 Tables

##### 3.2.3.1.1 BUT000

- To verify the Qualified Officer's first and last names were migrated properly
  - Where PARTNER = the BP number generated for the Qualified Officer
- To verify the Directors' first and last names were migrated properly
  - Where PARTNER = the BP number generated for each Director

##### 3.2.3.1.2 BUT020

- To verify an address has been created for the Qualified Officer
  - Where PARTNER = the BP number generated for the Qualified Officer

##### 3.2.3.1.3 BUT021\_FS

- To verify the Business Address has been assigned the correct address type
- To verify the Mailing Address has been assigned the correct address type
- To verify the Qualified Officer has been assigned the correct address type

##### 3.2.3.1.4 BUT050

- To verify a BP-to-BP relationship between the Broker and the Qualified Officer has been created
  - Where "PARTNER1" is the Broker's BP number
  - Where "PARTNER2" is the Qualified Officer's BP number

##### 3.2.3.1.5 BUT051

- To verify a Contact Person-type relationship between the Broker and the Qualified Officer has been created
  - Where "PARTNER1" is the Broker's BP number
  - Where "PARTNER2" is the Qualified Officer's BP number

##### 3.2.3.1.6 BUT100

- To verify the Qualified Officer has been assigned the Contact Person role (BUP001) and not the Contract Partner Role (MKK)
  - Where PARTNER = the BP number generated for the Qualified Officer
- To verify the Directors have been assigned the Contact Person role (BUP001) and not the Contract Partner Role (MKK)
  - Where PARTNER = the BP number generated for each Director

#### 3.2.3.1.7 DFMCA\_BUPR\_TA2

- To verify the correct Contract Object has been designated as part of the BP-to-BP relationship between the Broker and the Qualified Officer
  - Where "RELNR" is the BP relationship number generated above
  - Set "PARTNER2" as the Broker BP number

#### 3.2.3.1.8 ADRC

- To verify the address (fields "STREET" & "STR\_SUPPL1" & "STR\_SUPPL2"), postal code (field "POST\_CODE1"), city (field "CITY1"), province/state (field "REGION"), and country (field "COUNTRY") of the Business & Mailing Addresses have been migrated properly
  - Where ADDRNUMBER = the Address Number generated for the Broker Business & Mailing Addresses above
  - NOTE: If a Mailing Address creating using values from the Broker Master List, only fields "STREET" & "STR\_SUPPL1" & "STR\_SUPPL2" will be populated.

#### 3.2.3.1.9 ADR2

- To verify the phone number, field "TEL\_NUMBER", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.2.3.1.10 ADR3

- To verify the fax number, field "FAX\_NUMBER", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.2.3.1.11 ADR6

- To verify the email address, field "SMTP\_ADDR", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address
- To verify the email address, field "SMTP\_ADDR", of the Qualified Officer has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Qualified Officer

#### 3.2.3.1.12 ADR12

- To verify the website, field "URI\_ADDR", of the Mailing Address has been migrated
  - Where ADDRNUMBER = the Address Number generated for the Mailing Address

#### 3.2.3.1.13 DFACTS

- To verify Broker License number has been migrated
  - License number

- Where DFACTS-OBART = "CO"
- Where DFACTS-OBJID = "000000000[CO number]"
  - Derive by passing sublocation number to "DPSOB\_BP\_ACC-LEGACYOBJK3" and returning "PSOBKEY"
- Where DFACTS-FACT\_SET = "ZBROKR"
- Where DFACTS-FACT\_TYPE = "ZBRL"
- Where DFACTS-FACT\_CAT\_SEQ = "10", and
- DFACTS-FACT\_CATEGORY = "0001"

### 3.2.3.2 Transactions

#### 3.2.3.2.1 FPP3: Address Overview tab and Relationships screen

- To view the Program Account Business Address (only for new Contract Objects) and Mailing Address in the Address Overview tab
- To view the BP relationship between the Broker and the Qualified Officer in the Relationships screen

#### 3.2.3.2.2 VAP3: Address Overview tab and Relationships screen

- To view the Qualified Officer & their contact information in the Address Overview tab and BP relationship to Broker in the Relationships screen
- To view the Directors and BP relationship to Broker in the Relationships screen

#### 3.2.3.2.3 PSOBDISPLAY: Facts area

- To view the following groups of information in the Broker Facts area
  - Broker license number
  - List of the Broker's directors

### 3.2.4 Additional Information

- All exceptions records lists should be collected into a single exception file. Afterwards, each single exception case should be dealt one at a time to resolve.
- The aim will be to match all Broker records found in the License sheet of the Broker Master List and enhance their equivalent record in CARM. For licenses that are not pre-existing in CARM, new master data records (Contract Objects) will be created as described in Section 3.2.1.4.
- Due to the unstructured nature of mailing addresses in the Broker Master List, parsed values will only be moved to street address fields in SAP table "ADRC" (Addresses). That is, provinces and other non-street address-type data will not be automatically sorted into the appropriate fields as the source file does not have limits or controls (to be expected with Microsoft Excel file). TCPs and/or the CBSA will have the opportunity to correct any issues after CARM R2 go-live through the External Portal and Internal Portal, respectively.

### 3.2.5 Testing Scenarios

Test	Expected Result(s)
<ul style="list-style-type: none"> <li>If a new Business Address was created using the "Street Address" &amp; related values from the Broker Master List, verify that all lines of data from the source were parsed properly</li> </ul>	<ul style="list-style-type: none"> <li>Address line and postal code fields are filled</li> <li>Source and value data is an exact match</li> <li>Business Address external ID is [Broker license number]-0001</li> </ul>
<ul style="list-style-type: none"> <li>If Mailing Address was duplicated, compare pre-existing Business Address and newly created Mailing Address</li> </ul>	<ul style="list-style-type: none"> <li>Both addresses have the same fields filled out</li> <li>All fields are exact matches</li> <li>Mailing Address external ID is [Broker license number]-0002</li> </ul>
<ul style="list-style-type: none"> <li>If a new Mailing Address was created using the "Mailing Address" &amp; related values from the Broker Master List, verify that all lines of data from the source were parsed properly</li> </ul>	<ul style="list-style-type: none"> <li>Address line and postal code fields are filled</li> <li>Source and value data is an exact match</li> <li>Mailing Address external ID is [Broker license number]-0002</li> </ul>
<ul style="list-style-type: none"> <li>Test to ensure the Qualified Officer's first and last names were parsed properly and migrated to the first and last name fields as well as their email address</li> </ul>	<ul style="list-style-type: none"> <li>Qualified Officer's name has been parsed properly into the first and last name fields</li> <li>Qualified Officer's email address is available and correct</li> </ul>
<ul style="list-style-type: none"> <li>Test to ensure the Directors' first and last names were parsed properly and migrated to the first and last name fields</li> </ul>	<ul style="list-style-type: none"> <li>Directors' names have been parsed properly into the first and last name fields</li> </ul>
<ul style="list-style-type: none"> <li>Broker license number is available and correct</li> </ul>	<ul style="list-style-type: none"> <li>License number is available</li> </ul>

## 4 Technical Details

### 4.1 Mapping & Transformation

#### 4.1.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.1.2 Technical Solution Description

<Describe the program structure and how it processes the data that is to be extracted. Although complete pseudo code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>

#### 4.1.3 Error Handling

<Enter any additional information that could be helpful in developing this conversion.>

### 4.2 Load

#### 4.2.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.2.2 Technical Solution Description

For LSMW/ABAP Programs:

<Describe the program structure and how it processes the data that is to be received. Although complete pseudo code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>

**For ETL Tool:**

*<If the data will be loaded through BAPIs or IDOCs directly from ETL Tool, please explain the following details:>*

**Technical Details of IDOC/BAPI:**

*<Provide the name and details of the IDOCs and BAPIs that are going to be used. This should include the IDOC Type, Message Type, and any control parameters (including partner profiles) that must be configured to be able to invoke these IDOCs. Provide details of the segments of the IDOCs that are going to be used for the particular conversion object. If multiple IDOC/BAPIs will be used to load the records, provide the sequence in which they must be executed, along with details of prerequisites and other conditions that must be fulfilled.*

*If an IDOC/BAPI needs to be extended to include additional fields or segments, provide details of the development that is being carried out with the field details.>*

**Data Preparation:**

*<If the data has to be transformed to a specific structure or format before it can be loaded through the IDOC or BAPI, please provide the details here. Details may include nested schema or sub-schema requirements, control segment details of the IDOC, and any additional data (such as field check segments populated with 'X' for fields that are going to be loaded), please provide comprehensive details here.>*

**IDOC Processing:**

*<Provide details of any specific needs for processing the IDOCs in the target SAP ECC system. Include details of the transactions that will be used to process the IDOCs. If the IDOCs have to be processed in the background due to specific performance requirements, please mention details of background processing, including scheduling.>*

**4.2.3 Error Handling**

*<Enter any additional information that could be helpful in developing this conversion.>*

**4.3 Auditing and Control Requirements**

# 5 Security and Controls

## 5.1 Security Requirements

This specification has no security impact on the CARM applications for end-users. Any conversion activities will be performed by the CARM Project Team through the approved, temporary assignment of a conversion role. Any tools will be captured and placed into a Managed Services role in the event that access is required during post-go live support.

## 5.2 Auditing and Control Requirements

Audit Trail / Logging	
Data Encryption / Decryption Requirements	

**6 Attachments and Documentation**

<Attach any additional information in the form of documentation/appendix/attachments.>

# CBSA Assessment and Revenue Management (CARM) Solution

C205 – Broker Licensing Program Enrollment Documents Migration

# Document Control Information

## Document Information

Document Identification	31118139	Formatted: Font: (Default) +Body (Calibri)
Document Name	Broker Licensing Program Enrolment Attachment Migration	Formatted: Font: (Default) +Body (Calibri)
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Client	CBSA	Formatted: Font: (Default) +Body (Calibri)
Document Author	Hugh Ferguson (Amil Jasarbasic)	Formatted: Font: (Default) +Body (Calibri)
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Version: v1  
Page 3

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## Table of Contents

<b>1</b>	<b>Overview and Purpose .....</b>	<b>76</b>	Formatted	... [2]
1.1	Overview .....	76	Field Code Changed	... [1]
1.2	Business Driver .....	86	Formatted	... [3]
1.3	Impacted Sub-Process(es) .....	87	Formatted	... [4]
1.4	Assumptions .....	87	Formatted	... [5]
1.5	Risks .....	87	Formatted	... [6]
1.6	Impacted Systems .....	97	Formatted	... [7]
<b>2</b>	<b>Functional Considerations .....</b>	<b>108</b>	Formatted	... [8]
2.1	Detailed Description .....	108	Formatted	... [9]
2.2	Process Flow .....	1210	Formatted	... [10]
2.3	Scheduling Requirement .....	1412	Formatted	... [11]
2.4	Dependencies .....	1412	Formatted	... [12]
2.4.1	Environment / Configuration .....	1412	Formatted	... [13]
2.4.2	Development Dependencies .....	1412	Formatted	... [14]
2.4.3	Run / Execution Dependencies .....	1512	Formatted	... [15]
<b>3</b>	<b>Detailed Design .....</b>	<b>1614</b>	Formatted	... [16]
3.1	Summary of the process .....	1614	Formatted	... [17]
3.2	Mapping .....	1615	Formatted	... [18]
3.2.1	Mapping Data Source .....	1745	Formatted	... [19]
3.2.2	Data Extract Details – Extraction Specification .....	1816	Formatted	... [20]
3.2.3	Relationship with Master Data .....	1917	Formatted	... [21]
3.2.4	Content Location (Content Server Paths in xECM) .....	2018	Formatted	... [22]
3.2.5	File Naming Convention .....	2018	Formatted	... [23]
3.2.6	User and Group permissions in CARM .....	2018	Formatted	... [24]
3.2.7	Metadata Requirements .....	2119	Formatted	... [25]
3.3	Filtering Requirement .....	2119	Formatted	... [26]
3.4	Verification & Reconciliation Procedure .....	2119	Formatted	... [27]
3.5	Additional Information .....	2220	Formatted	... [28]
3.5.1	Object Importer Input Control File format .....	2220	Formatted	... [29]
3.5.2	Basic Algorithm for Migration .....	2220	Formatted	... [30]
3.6	Testing Scenarios .....	2523	Formatted	... [31]
<b>4</b>	<b>Technical Details .....</b>	<b>2624</b>	Formatted	... [32]
4.1	Mapping & Transformation .....	2624	Formatted	... [33]
4.1.1	Object Information .....	2624	Formatted	... [34]
4.1.2	Technical Solution Description .....	2624	Formatted	... [35]
4.1.3	Error Handling .....	2924	Formatted	... [36]
4.2	Load .....	3024	Formatted	... [37]
4.2.1	Object Information .....	3124	Formatted	... [38]
4.2.2	Technical Solution Description .....	3124	Formatted	... [39]
4.2.3	Error Handling .....	3325	Formatted	... [40]
4.3	Auditing and Control Requirements .....	3325	Formatted	... [41]
<b>5</b>	<b>Security and Controls .....</b>	<b>3426</b>	Formatted	... [42]
5.1	Security Requirements .....	3426	Formatted	... [43]
5.2	Auditing and Control Requirements .....	Error! Bookmark not defined.26	Formatted	... [44]
<b>6</b>	<b>Attachments and Documentation .....</b>	<b>3527</b>	Formatted	... [45]
			Formatted	... [46]

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Status: Draft

Page 6

## 1 Overview and Purpose

<b>Object ID</b>	<b>C205</b>	<b>Business Process</b>	1.2 Enrol in Program
<b>System</b>	OpenText	<b>Component</b>	Broker Licenses
<b>Object Type</b>	<input type="checkbox"/> Report <input type="checkbox"/> Interface <input checked="" type="checkbox"/> <b>Conversion</b> <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	Medium	<b>Translation Required?</b>	No
<b>Transaction Name</b>		<b>Program Name</b>	
<b>Volume</b>	~24,000 files; ~6.9GB	<b>Frequency of data create/update</b>	~160/year

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### 1.1 Overview

Content conversion is the process of migrating data and files from one system to another. This is a multi-step team effort in which existing CCS business transaction data and attachments will be migrated from their existing source system to the new CARM solution.

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This document outlines the design specifications for migrating attachments from the Broker Licensing area of Apollo<sup>1</sup> G Drive, also referred to as “the shared drive”, into the CARM content management solution, OpenText.

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The Broker Licensing program’s shared drive’s unstructured content (attachments and metadata) will be associated with related business transaction’s structured data, which will previously be migrated to SAP S4/HANA (refer to “C140 – Broker Licensing Program Enrollment Master Data Conversion” for details).

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Currently, Broker Licensing program enrolment information is captured and maintained in a spreadsheet. Any Broker information in ARL is present because it is manually copied from the mentioned spreadsheet. Going forward, the CARM solution will centralize all Broker information including licenses and related supporting documents. The need for a unified modern solution to maintaining Broker program enrollment information is further highlighted when considering the sheer number of records that already exist and continue to grow.

This functional specification fulfils the following requirements:

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- R1170 - Extract and Load Broker Licensing Program Enrollment - Attachment migration

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<sup>1</sup> Initially it was thought that the source of documents for migration would be the Broker Licensing Shared Drive. During the JAD sessions conducted Dec 12, 2019, it was determined that all relevant content was only found in Apollo.

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- R0272 - Must implement a solution that replaces manual-process electronic enrolment form (MS Office documents) on shared drive associated to Broker Licencing.

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## 1.2 Business Driver

- This stream of work will empower the CBSA to consolidate its IT landscape and processes and support modernization of the Commercial line of business.
- A successful migration of content (data and files) will help retire several agency-identified systems and Broker program spreadsheet, thereby making the landscape leaner and easier to maintain.
- This migration will consolidate Broker information into CARM, thereby helping the CBSA eliminate the related use of the shared drive and minimize maintenance and integration costs.

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## 1.3 Impacted Sub-Process(es)

All actions related to processes/ sub-processes associated with Broker Licencing Program's unstructured content will need to be executed in the new CARM Solution.

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## 1.4 Assumptions

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- CBSA will extract Broker program attachments and their metadata from their existing locations and made available in the staging area per the conversion specification from the CARM Solution Design team
- There will be a unique identifier to establish a relationship between the content being migrated (data and attachments) and the associated metadata attributes
- Broker program attachments will be migrated as-is in their existing format
- No updates in the attachment content will be required
- Content source paths<sup>2</sup> will be retained and locked-down during the export – this would involve making documents in Apollo read-only for the duration
- Broker program and CARM teams will agree on the timing and duration of the conversion cut-off period ensuring that it provides sufficient time to prepare, execute and validate conversion.
- As part of decommissioning process, the Broker Licencing Program team will decide what to do with the original content after the conversion is completed (i.e., the original content in legacy system may be backed-up / archived offline).
- From the time that documents are extracted from their legacy application (in this case Apollo) until they are uploaded to CARM, ISTB has the ability to lock the documents so that they are read-only (and CARM team only require read-only access to the documents). After the documents are in CARM, their access will be controlled by security model (see section 5).

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## 1.5 Risks

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- Without this migration, Broker program attachments and supporting documents will remain in a siloed system leading to additional system maintenance and integration efforts.

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<sup>2</sup> CARM team is receiving a copy of the source material that CBSA extracts from Apollo. A detailed discussion of the source path is found in section 3.2.1

## 1.6 Impacted Systems

☐ SAP S/4HANA ☐ Sales and Marketing / SAP CRM ☐ SAP BI  
☐ Procurement / SRM ☐ Portal ☐ Middleware  
☐ Supply Chain / SCM ☒ Others / Legacy (Broker Licencing Program)  
☒ OpenText

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## 2 Functional Considerations

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### 2.1 Detailed Description

The Broker Licensing Program shared drive maintains ~24,000 files spread over 2,200 folders comprising the total volume of about 6.9GB. Of these, only ~9200 documents and emails, and ~527 folders are in scope for migration<sup>3</sup>. On average, there are 7 documents attached to each application. CBSA receives an average of 20 applications per year<sup>4</sup>. The Broker Licensing files are currently stored on being transitioned to Apollo: (<http://apollo/livelink/llisapi.dll/link/10357855>). Once a file is closed, paper records are being sent for storage in the records room in Ottawa, and eventually sent to Library and Archives Canada (LAC) when the retention period matures.

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These files consist of incoming emails from the brokers, L53 and L60 forms, any attachments that they submitted, CBSA approval letters, CBSA outgoing emails as well as all any updated information that the client may send at a later time. The following are examples of attachment content types: investigation requests and results, site visit requests and results, accompanying acknowledgements for all procedures, fax confirmations, CCS print screens, licenses issued, licences surrendered, email correspondence, annual review correspondence, legal opinions, consultations feedback, webpage content (brochures etc).

The following are core stages which will be involved in migrating Broker program unstructured content into CARM:

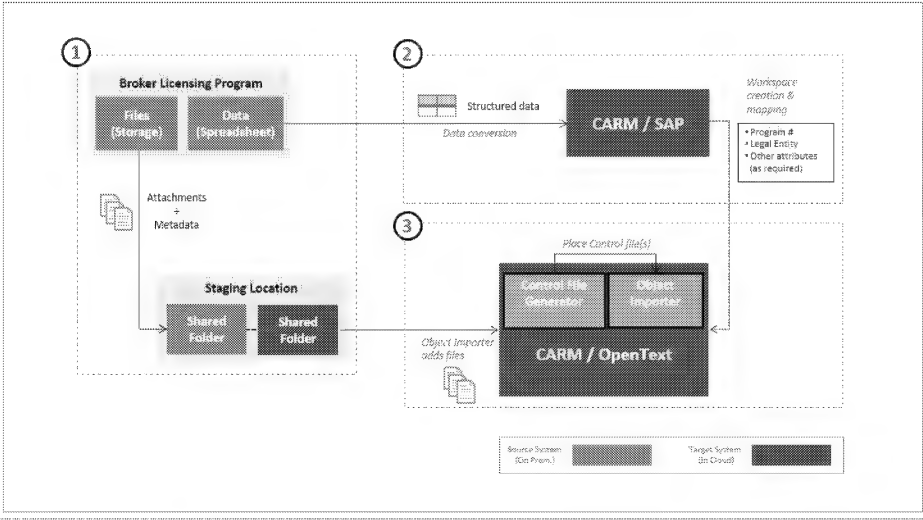
1. Content preparation in Source System (~~Apollo~~the shared drive)
2. Enablement in Target System (CARM S4/HANA and OpenText)
3. Conversion process execution

The following diagram depicts key components including tools and inputs/outputs as well as the functional interaction flow involved in conversion of Broker program shared drive content into CARM.

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<sup>3</sup> Based on Dec 12 JAD session where business confirmed only the Brokers Open folder is in scope

<sup>4</sup> On Dec 17, CBSA gave us numbers for past 3 years which give an average of 18.6 applications per year.



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As part of content preparation, in stage 1, the Broker Licencing Program Business Team will be required to complete a content scan and create an inventory of all attachments and metadata which are required for migration. Based on that inventory, the CARM Functional Team will develop the extraction specification template (Excel file) for the Broker Program Technical Team to update and ensure that they extract all necessary attachments and metadata into a staging location (shared folder) following the required procedure.

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In stage 2, the CARM Technical and Functional Teams will leverage the business workspace which has previously been prepared as part of the Broker Programs’s structured data conversion (refer to “C140 – Broker Licensing Program Enrollment Master Data Conversion”). As part of this stage, metadata specific to Broker Licensing attachments will be initiated. The newly filled in extraction specification template will be henceforth referred to as simply the extraction specification

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In stage 3, the OpenText Object Importer tool will be used to import Broker Program attachments and metadata from the staging location into the CARM solution. OpenText Object Importer is a module of the OpenText Extended Enterprise Content Management (xECM) for SAP Solutions platform. Object Importer enables the automatic import of any number of objects (attachments, metadata) from the local file system into OpenText xECM. Object Importer uses an XML Input Control File (ICF) for configuration and management of the importation process. The ICF specifies XML tag paragraphs called nodes which provide specific instructions such as file source and target paths, file title and other metadata to be imported in the target system. The ICF is generated using a simple custom script. The ICF, along with the log file paths, are configured for automated execution in Object Importer, resulting in importation of specified attachment and metadata files into OpenText target location. From there, the attachment and metadata will be mapped to a related Broker Program data transaction which has previously been converted in an instance of specific business workspace. There will be a unique identifier comprised from Program #, Legal Entity metadata which will be used to associate attachments loaded in OpenText to corresponding data loaded in S4/HANA. It should be noted, that Object Importer installed on AWS Cloud and the system account running the Object Importer process will be required Read access to all attachments in the staging folder.

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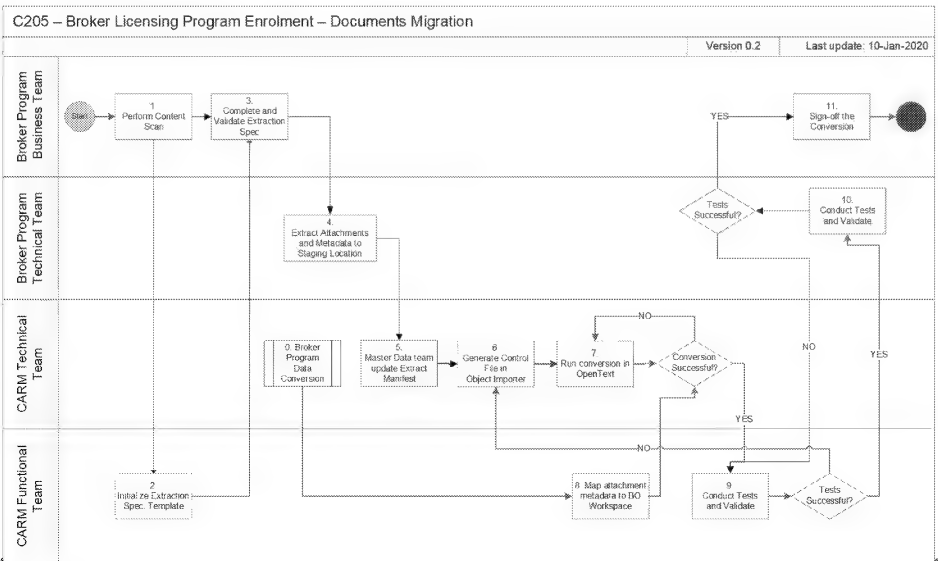
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The deployment plan will be executed the days leading up to cutover weekend, and where practical conversions will be completed during this time in order to reduce the loads and risk.

Upon successful conversion, the project team will sent the confirmation notification back to the Broker License Program team so that decommissioning process steps can occur regarding the original content left in the legacy system. Note however, that decommissioning is outside of scope of this specification.

## 2.2 Process Flow



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Process Step	Input	Processing / Mapping / Requirements	Output
1	Attachments and metadata requiring migration Team: Broker Program Business Team	<ul style="list-style-type: none"> <li>Perform content scan<sup>5</sup> to obtain a content inventory<sup>6</sup></li> <li>Identify attachments and metadata for migration</li> </ul>	Content Migration inventory listing attachments and metadata (excel)
2	Content scan inventory Team: CARM Functional Team	<ul style="list-style-type: none"> <li>Specify staging location paths</li> <li>Include other attributes required for BO Workspace</li> </ul>	Extraction specification template initiated (excel)
3	Extraction specification template initiated Team: Broker Program Business Team	<ul style="list-style-type: none"> <li>Populate / update the extraction specification excel (i.e., legal entity, program #)</li> </ul>	Extraction specification populated
4	Extraction specification Team: Broker Program Technical Team	<ul style="list-style-type: none"> <li>Extract attachments and metadata following the extraction specification</li> </ul>	Attachments and metadata files available in the staging location
5	Master Data (C14081) conversion, update of extract Team: CARM Technical Team	<ul style="list-style-type: none"> <li>Master Data runs conversion C140, new contract account and contract objects created;</li> <li>Update SAPUID references in unstructured extract specification</li> </ul>	Updated CSV/Excel for unstructured team. Sample Excel in section 6
6	Object Importer configured Team: CARM Technical Team	<ul style="list-style-type: none"> <li>Write Control File Generator script / code</li> <li>Generate Control Files in OpenText Object Importer</li> <li>Update Control File (after the error path, refer to step 8)</li> </ul>	Control File (XML format) generated / updated. See Excel sample in section 6
7	Control File (XML format) Team: CARM Technical Team	<ul style="list-style-type: none"> <li>Run Object Importer for each individual attachment</li> <li>Monitor Object Importer log file</li> <li>If there is error, correct error condition and re-run Object Importer. Repeat the step until it succeeds for a failed attachment</li> </ul>	Attachments and metadata successfully imported into target locations Importation failed on an attachment / metadata
8	Broker Licensing LARRY Data conversion sub-process already completed Team: CARM Functional Team	<ul style="list-style-type: none"> <li>Configure Business Object (BO) Workspace for attachments metadata</li> </ul>	Business Object (BO) Workspace with data and attachment metadata mapped

<sup>5</sup> Content Scan refers to the process of "scanning" a file share and producing a list of documents in that share that are to be migrated.

9	An attachment / metadata imported to OpenText and ready for testing  Team: CARM Functional Team	<ul style="list-style-type: none"> <li>Verify that the attachment and metadata importation is correct (e.g., the link works, metadata is correct, attachment can be searched, etc.)</li> <li>If there is error, perform troubleshooting and correct the error root-cause. Re-run the process from Step 5 until the attachment / metadata conversion validation is passed</li> </ul>	Successfully completed conversion validation of all of Broker Program attachments and metadata
10, 11	Conversion testing record Team: Broker Program Business Team	<ul style="list-style-type: none"> <li>Review record of the conversion testing</li> <li>Sign-off the conversion</li> <li>Start decommissioning process steps regarding the original content left in the legacy (not in scope for this specification)</li> </ul>	The conversion signed-off

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### 2.3 Scheduling Requirement

Broker Licencing Program and CARM teams will agree on the timing and duration of the conversion cut-off period ensuring that it provides sufficient time to prepare, execute and validate the conversion factoring in a potential need to re-run the conversion in several “delta” batches as required.

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### 2.4 Dependencies

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#### 2.4.1 Environment / Configuration

- OpenText Extended Enterprise Content Management (xECM) for SAP Solutions will be configured and integrated with S/4HANA.
- Object Importer module will be activated in the OpenText xECM for SAP Solutions environment.
- Unstructured content in Broker program’s source location will be mapped to the new solution’s target location.

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#### 2.4.2 Development Dependencies

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It is anticipated that the following development dependencies will be necessary as part of the conversion solution for Broker program content:

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- Business workspace data providers and templates will be developed as per spec E721
- Object Importer Control File for will be generated from a custom script / code.

<sup>6</sup> Content Inventory refers to the “inventory” or list of files on a shared drive or in Apollo, in this case, in Apollo produced by a content scan.

2.4.3 Run / Execution Dependencies

Care must be taken to ensure that Broker program attachments are associated with related Broker program data in CARM. Business workspace based on SAP Business PartnerProgram Account Object initiated with Broker program data in CARM S4/HANA must exist prior to importing Broker program attachments into OpenText. The creation of these SAP objects is defined in C140.

The system account running the OpenText Object Importer process will be granted Read access (copy permission) on all attachments in the staging location in AWS Cloud.

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### 3 Detailed Design

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#### 3.1 Summary of the process

The overall conversion will take place in the following manner. The following steps correspond to the process details outlined in section 2.4:

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- 1) CBSA team will identify the documents in the Broker Licencing folder in Apollo that need to be migrated, and produce a file that lists every single file to be migrated and metadata that needs to be migrated. It is possible that CBSA's content inventory will produce only a list of files, which is not sufficient, but this will be addressed in the next step. The CBSA team will ensure that only documents in the active folder (i.e. Brokers Open) are on the content inventory. If confirmed that CBSA business requires inactive documents, then only documents associated with enrolments that have been inactive less than the 6 year retention period will be included.
- 2) CARM Functional team will examine the content inventory and do the following:
  - a. Add columns to the spreadsheet for any missing columns to form an extraction template (when completed, this will be an extract specification). See section 3.2.2 for a description of the required fields that need to be in this file;
  - b. Perform a find and replace on the file paths to change their original location to a location on the agreed upon staging file share.
  - c. Send the extraction specification template to the CBSA team to complete (if required);

The understanding from the JAD session is that all content identified by the business will be migrated. Data for all years will be migrated within the Brokers Open folder (active enrolments).

- 3) CBSA will review and validate the extract specification template. The completed template will be henceforth referred to as the extraction specification – see an example file in Section 6;
- 4) CARM Technical team (with co-operation from ISTB) will move the content and the extraction specification to a staging location that matches the file path that was replaced in step 2b;
- 5) CARM Technical team (master data) will execute the master data conversion as per C140. As part of this process, the extract specification will have its SAPUID column updated with the SAP Business Object ID of each one each shell case created as part of this spec's fulfilment;
- 6) CARM Technical team to run an application against the extract specification that will produce 1 or more XML files to be used in Object Importer (OI) – see section 3.5.2 for detailed algorithm;
- 7) CARM Technical team to load OI XML files and monitor;
- 8) CARM Functional team will have already defined business workspace templates as per E7224, and these will have been built prior to the migration;
- 9) CARM Functional team to do QA on migrated content;
- 10) CBSA Business team to do their own validation;
- 11) CBSA signs off on conversion;

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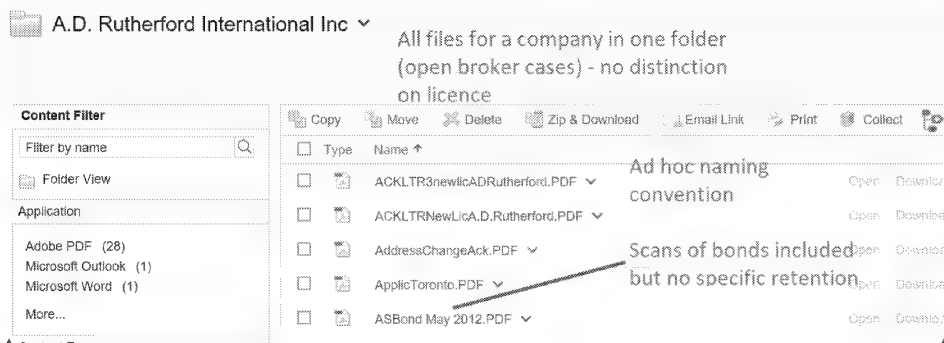
#### 3.1 Mapping

#### 3.2 Mapping

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### 3.1.23.2.2 Data Extract Details – Extraction Specification

Table 3.2.2.1 details the data that needs to be completed in the extraction specification template. If possible, CBSA should try to get this data in the initial content inventory. A sample of this extraction specification template can be found in section 6.

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Field Name	Data Type	Required	Remarks
FilePath	String	Y	Full path to file + file name (i.e. \\fileshare\path\to\file.ext). For initial content scan, this may be the original location, which will be updated to reflect the staging location.  The name portion of this file path will be the name of the file in Content Server.
CompanyName	String	Y	Legal company name as found in the master data spreadsheet
SAPUID	String	Y	This field will be initially blank but it will be a requirement that the master data team fills in this field in the extraction specification during C140 – master data conversion. This is expected to be the <u>Legal Entity Program Account</u> object for the company registering for the broker licence program.
CreateDate	Date	Y	This represents the date that the document was created in Apollo and will be used for the document create date in CARM.  The date format expected is  YYYY-MM-DD HH:MI:SS  All times are expected to be in EST as that is the server timezone for Apollo.

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Table 3.2.2.1: Required fields in Extraction Specification Template

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### 3.1.33.2.3 Relationship with Master Data<sup>9</sup>

The master data for this unstructured content is currently maintained in a spreadsheet in Apollo here:

<http://apollo.omega.dce-eir.net/livelink/lisapi.dll?func=ll&objId=10359885&objAction=browse&viewType=1>

This master spreadsheet maintains a list of all broker licences issued. The licence number is unique albeit generated by hand. There is one licence number per broker licence agreement. There can be multiple broker agreements/licences per company.

	A	B	C	D	E
	Licence NUMBER	Brokers' Name	Street address	City	
8	3190	A.D. Russell International Inc.	1000 McPhillips Avenue	Burnaby	Legal name of company matches folder name in Apollo 1 licence for each program enrolment
	3096	A.D. Russell International Inc.	1000 McPhillips Avenue - Head Office	Winnipeg	
	3094	A.D. Russell International Inc.	1000 McPhillips Avenue	Burnaby	
	3096	A.D. Russell International Inc.	1000 McPhillips Avenue	Burnaby	
	3121	A.D. Russell International Inc.	1000 McPhillips Avenue	Burnaby	This is the number that is manually generated by adding 1 to the last number
1	1880	A.E. Russell Ltd.	1000 McPhillips Avenue	Burnaby	
2	2961	A.E. Russell Ltd.	1000 McPhillips Avenue	Burnaby	
	2755	ABC Insurance Group Ltd.	1000 McPhillips Avenue	Burnaby	
	412	ABC Insurance Group Ltd.	1000 McPhillips Avenue	Burnaby	
1	2478	ABC Insurance Group Ltd.	1000 McPhillips Avenue	Burnaby	

Fig 3.2.3.1: Master data spreadsheet in Apollo

Unstructured data by contrast, is stored by the legal company name. In each area of Broker licencing, the content is segregated by company name, but not by licence number.

To reconcile master data and unstructured data, the master data team will be creating one SAP Contract object per broker licence, and one Contract Account object per legal company name. The relationship between contract, contract account, and other business objects in SAP is shown below in fig. 3.2.3.2.

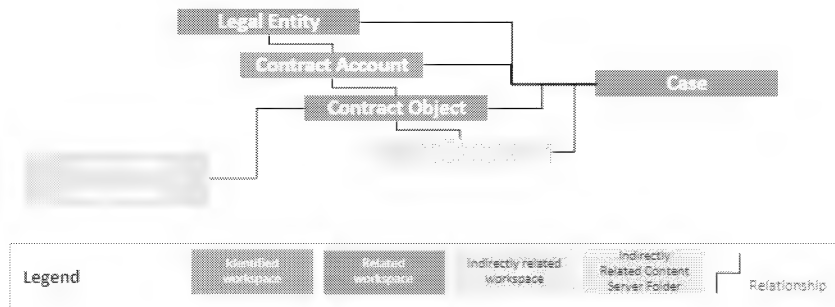


Fig 3.2.3.2: Relationship between Contract account and Contract Object in SAP

<sup>9</sup> The actual migration of master data from legacy (spreadsheet) to CARM is detailed in spec C140

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#### 3.1.43.2.4 Content Location (Content Server Paths in xECM)

All Broker Licensing documents will be migrated to a specific sub-folder of a Business Partner/Legal Entity program account business workspace. The Business workspace in Content Server has a 1:1 relationship with an SAP Business Partner/Program Account Object and SAP Business Object Type, the former coming from the extract specification (as populated by Master Data team) and the latter being a constant that will be known at the time the input control files are generated during steps 6 of the process described in section 2.2 and section 3.1. This process is discussed in greater detail in section 3.5.2.

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Each migrated document is expected to reside at the following location in the CARM taxonomy:

**CARM:Business Workspaces:Legal EntityProgram Type:[PROGRAM CATEGORY]:[YYYY]:[PROGRAM ID]:Migrated Documents<sup>10</sup>**

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In the above, [PROGRAM CATEGORY] will be a constant that represents the Broker Licensing program (this is defined in the CIS model for CARM as the Business Partner/Legal EntityProgram Account category and Category Type attribute which is a Table Key Lookup attribute – values TBD). [YYY] represents the year that the SAP Business Object came into effect, and [PROGRAM ID] represents the Business Partner/Legal EntityProgram Account object in SAP. The last two values come from SAP when SAP creates the Business Workspace in Content Server. The above path is determined during the generation of the XML Import files by knowing the SAP object ID, the SAP object type, and the external system ID (a configuration constant in xECM config for Content Server) as described in section 3.5.2.

#### 3.1.53.2.5 File Naming Convention

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No specific file naming will be applied for this conversion. All documents will retain their existing names in Apollo. Since each company's folder will be replicated with the exact same content in CARM and since no legacy content from the G-drive is to be migrated, no namespace collision is anticipated.

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#### 3.1.63.2.6 User and Group permissions in CARM

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During the JAD session for Broker Licensing, the question was posed as to whether users in Apollo had different access to different documents. Today in Apollo, the Broker Licensing area had the following permission structure everywhere:

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Group Name	S	SC	M	EA	AI	R	MV	DV	D	EP
Owner	x	x	x	x	x	x	x	x	x	x
Group (CBSA = ASFC)	x	x								
World – revoked										
Assigned groups										

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<sup>10</sup> As defined in E721

CTB - CPD - Commercial Operations = SCEC - DPC - Opérations commerciales	x	x	x	x	x	x	x <sup>11</sup>	x	x	
Role - Information Admin - CTB - CPD - Commercial Operations = Rôle - Admin d'information - SCEC - DPC - Opérations commerciales	x	x	x	x	x	x	x	x	x	x

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Table 3.2.6.1 : Permissions in Broker Licencing area of Apollo

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#### Legend:

S – See	SC – See Contents	M - Modify
EA – Edit Attributes	AI – Add Items	R - Reserve
MV – Add major version	DV – Delete Versions	Delete
EP – Edit Permissions (super-user)		

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For the migration to CARM, the permission structure above is to be replicated in the Business Partner/Legal Entity Program Account Business Workspace Template for its migrated documents folder. This is described in spec E721. It should be noted that the ability to update a document results in the appending of a new version, and that all events such as edit or delete are thoroughly audited by the system.

Since permissions will not be explicitly set as part of this conversion (documents by default inherit the permissions of their parent folder), the testing of these permissions will not be conducted as part of this conversion but as part of E721 testing.

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### 3.1.73.2.7 Metadata Requirements

No document specific metadata has been identified. As a result, the document will not require any specific category attributes to be populated.

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### 3.23.3 Filtering Requirement

There is no expected filtering requirement for this conversion as extraction specification is expected to only contain files being migrated.

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### 3.23.4 Verification & Reconciliation Procedure

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The following should be verified prior to generating the ICF for Object Importer, and loading the data:

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- For each line of the manifest, the document exists and is readable;
- The size of each document should be summed up to allow us to scale the import/ingestion appropriately;
- Any zero byte files should be excluded unless CBSA business informs CARM Technical team there is a valid reason to keep them;
- There should not be a document in the staging folder that is not in the extraction specification;

<sup>11</sup> In some folders users in commercial operations group had the Add Major version permission and some places they didn't. That was more likely an oversight. Users in this group consistently don't have Edit Permission (super-user) rights

- All documents should have a name that is unique within the context of a Contract Object Business Workspace;
- Every line in the manifest which is assumed to correspond to a single file will need to pass all the pre-checks. For any document entry that generates errors, the error needs to be corrected in the manifest before proceeding, or if the file is to be excluded, this needs to be recorded in an exclusion log and signed off by the business;

Any errors here should be reported to CBSA who will need to validate the manifest, and regenerate it and/or add any files that were missing in the original extract.

The following should be verified prior to loading the data with Object Importer:

- The calculated path/location of the document in Content server should already exist;
- For each line in the extraction specification, there should be a node element in the OI ICF;

Errors at this stage must be corrected before loading the documents with Object Importer.

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### 3.4.3.5 Additional Information

#### 3.4.3.5.1 Object Importer Input Control File format

OI ICF files are in XML format. Each ICF will have a root node called <import> and each document being imported will be found in a <node> element which will be a direct child of <import>. The XML for ICF's looks like the following example. For simplicity, this is the XML for the import of a single document:

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```
<import>
  <node action="create" type="document">
    <title>ApplicToronto.pdf</title>
    <!--
      location represents the location of the document in Content Server
    -->
    <location>CARM:Business:Program Accounts<del>Legal Entity</del>:Broker Licencing:2018:1234:Migrated
Documents</location>
    <!--
      File represents the document location on the staging share -->
    <file>\\sharedrive\path\to\document.pdf</file>
    <!-- if CreateDate is passed, the creation date of the object is set to this value. If it is omitted,
      the date the object was imported is used instead
    -->
    <createdate>YYYYMMDD</createdate>

  </node>
</import>
```

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In the above sample, red text represents mandatory XML while green represents optional XML.

#### 3.4.23.5.2 Basic Algorithm for Migration

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This section is intended to be an overview of the algorithm that the developer should implement. The exact technical details of the implementation are to be found in section 4.

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For this migration, the intention is to write a custom application (henceforth referred to as the conversion application) to consume the extraction specification from the extract (CSV or Excel TBD), and generate XML Input Control Files (ICF) that would be consumed by Object Importer (OI) in the AWS environment. At no point during

this process is the content of the file altered (in fact process would work with read-only access). The overall process involves the following steps:

- Extract data from Broker Licencing folder in Apollo to a spreadsheet (Excel or CSV data is acceptable) on which the extraction specification template will be based, and stage all documents in a location agreed upon by both CARM Security and ISTC. The location of the documents must be accessible to the CARM team. The extraction specification should contain the current location of the document, and sufficient information for the master data team to create the SAP business objects (C140 spec). (CBSA Responsibility);
- Perform the Master Data conversion as per C140 to allocate SAP UID for each row in extraction specification. The SAP UID will be the Business Partner~~program account~~ object which corresponds to the business name as defined in the extraction specification (CompanyName field in Table 3.2.2.1);
- Run conversion application (see next paragraph). If any errors are discovered during this process, the conversion must be paused and the errors reviewed with the business. An example of possible errors:
  - File cannot be located (either due to permissions or it's missing);
  - Target SAP Business Object doesn't exist in SAP;
  - Target Location (Business WS) doesn't exist in Content Server

In the event that any of these occur, the errors must be first corrected or (in the event that the content is not required) the business must sign-off that it is OK not to migrate the document for which the error occurred. Any such exemptions should be removed from the extraction specification prior to re-running the conversion application. The next steps should not occur until an error free run of the application occurs;

- Move generated XML and files to a location in AWS network that is reachable by Content Server – the XML Files themselves need to go into the OI Input Directory (typically a location within Content Server installation directory that is defined in OI config that OI agent will monitor);
- Set OI to run in the background to import the data;
- 

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The conversion application will perform the following tasks:

- Read from its configuration (file, db table, cmd line arguments – all to be decided during technical design) parameters such as External SAP system ID (for Content Serve Business Workspace queries), SAP Object Type, and maximum number of documents to define per XML file (recommend 10,000 as upper limit);
- Reading extraction specification file produced by CBSA and vetted by CARM Functional Team, which contains a list of all documents and metadata – the documents are expected to reside on a file share accessible to the conversion application;
- Perform the following QA:
  - Ensure that for each line of the extraction specification, the associated file should be located;
  - Discovering any zero-byte files and removing them from the migration – this will be logged by the application as an error;
- Open an XML stream for output;
- BEGIN LOOP A: Perform a conversion for each line in the manifest:
  - Perform the following steps to guarantee uniqueness:
    - Application will have an in-memory cache of SAPUID-Filename combinations;

- Application will check this in-memory cache to see if current combination of SAPUID and filename has already been processed;
- If it has, it will reset the name from [filename].[ext] to [filename] N.[ext] and check that it too doesn't exist.
- The application will continue incrementing N and checking until a unique combination SAPUID-Filename is found
- Use the SAPUID from the manifest, the SAObjectType (a config parameter<sup>12</sup>), and the external SAP system ID (also a config parameter) to find Business workspace to be used as a target location;
  - Check first an in-memory cache to see if we had already looked up the business workspace for a previous entry;
  - If not, look up the business workspace using Content Server REST API – exact details will be defined in section 4 but from this step we should have the full path to the business workspace in Content Server;
  - If the target location exists, save it to the in-memory cache for later reuse;
  - If the target location does not exist, generate an error message in the log file of the application – continue to next row;
- Using the Business WS path obtained from the previous step, write an XML entry to the open XML Stream for this document. See section 3.5.1 for a sample of the XML. Increase the running count of the number of items processed;
- Check running count of the number of items processed;
  - If that number is larger than the maximum number of items allowed in an XML file<sup>13</sup> close the current XML Stream and write its contents to a file, then open a new XML Stream that will write out to another file (similarly named but with a UID to prevent name collision). Running count of the number of items processed reset to 0;
- END LOOP A;
- Once all rows of the extraction specification have been read, flush out the remaining XML elements in the XML output stream to a file (filenames would take a form of <import name>\_n.xml where n = 1 – however many files are needed to keep each XML to have no more elements than the maximum defined in the application config;
- The output will contain a list of all rows from the extraction specification that were processed but also include any errors. The output should be reviewed for Quality assurance. The XML files and documents should not be transported until all errors are fixed or addressed;

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<sup>12</sup> To query a business WS by SAPUID, the SAP Object Type is required. The assumption is that the same SAP Object Type will be used for all documents in the extract. Therefore this will be a configuration parameter.

<sup>13</sup> The maximum # of items is a config parameter, the XML file name convention will be decided during technical design

3.73.6 Testing Scenarios<sup>14</sup>

Scenario	Description
1	Verify that all documents have been migrated to OpenText Content Server.
2	Verify that CBSA internal user can access migrated documents in OpenText Content Server.
3	Verify that the migrated documents are not corrupt in OpenText Content Server.
4	Verify that users are able to access documents for a given migrated entity via SAP GUI

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<sup>14</sup> There is no checksum verification as part of this testing process as the documents can be locked as read-only from the time they are extracted to the time they are entered into CARM. Once in CARM, there is an audit trail for every change made in CARM.

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## 4 Technical Details

### 4.1 Mapping & Transformation

#### 4.1.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.1.2 Technical Solution Description

**4.1.2** This section describes the technical steps undertaken to execute this conversion in the build stage.

Describe the program structure and how it processes the data that is to be extracted. Although complete pseudo-code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo-code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.

1. Copied the Extract files from the Drop zone to loading area on the VDI: under

\\SAPDATA\Interfaces\RS2\UnstructuredData\C205\

1.

2. Copied the Content Inventory and OI file (Created by Object Exporter) from the dropzoneDrop-zone to the VDI.

3. The Content Inventory was uploaded to MS Access DB(C205) for analysis as table C205\_NEW

4. Added 7 new fields to the DB Table (C205\_NEW): 'Company Name', 'Profiling Comment', 'Cleansing Comments', 'Licence Number', SAPUID, FilePath(Long Text Type), -DocExistance & GoodToLoad.

Executed the below query The below query was executed to populate the values from the previous table to join by the FilePath

5.

Update C205\_NEW, C205\_OLD

set C205\_NEW.[Profiling Comment]=C205\_OLD.[Profiling Comments], C205\_NEW.[Cleansing

Comments]=C205\_OLD.[Cleansing Comments], C205\_NEW.[Company Name]=C205\_OLD.[Company

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Name],C205\_NEW.[SAPUID]=C205\_OLD.[SAPUID],C205\_NEW.[Licence Number]=C205\_OLD.[Licence Number],C205\_NEW.DocExistance=1

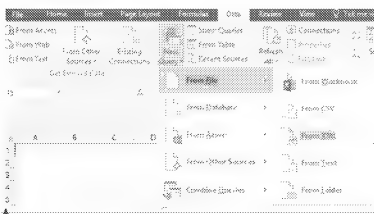
where C205\_OLD.Path=C205\_NEW.Path;

led Copied The was uploaded and it was executed to

6. From the OI file in order to we need to extract the <File>(binary file path), <Location>(Content Server Path) & <Title>(CS Document Name) from the OI file, the below steps need to be done were taken done:

a. Opened Excel- and navigated Go to Data -> New Query > From File > From XML and then selected

the OI XML



SA pop-up will come, there selected the node table and clicked on "Transform Data" button then another pop-up will come:

b.

c. In that pop up a table will show, kept the columns called 'Title', 'File' & 'Location' and

Location	Title	File
Enterprise	Table	null
Enterprise unitTests	Table	null
Enterprise unitTests	Table	D:\doc1175_20201203720462\202012032204022068105142000...
Enterprise unitTests	Table	D:\doc1175_20201203720462\202012032204022068105142000...

deleted the rest.

d. Filtered on the 'File' column to view the rows that are not blank . and show only non-blank rows.

e. Clicked on the table icon in the title column and selected Text. Then filtered on the nonblank values. Next, clicked Click on Close and Load.



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Commented [TS3]: Provide DB table name

Commented [TS4]: Table name?

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f. This set will loaded the data to excel and saved the excel as well. data was loaded and saved to excel:

Enterprise: Operations and the Regions: 01 Border Operat Modal Logistics Appl (2).pdf	\\SD00BCVAP1807\objectexporter\destination\Broker_2020121508381
Enterprise: Operations and the Regions: 01 Border Operat Modal Logistics Appl (2).pdf	\\SD00BCVAP1807\objectexporter\destination\Broker_2020121508381
Enterprise: Operations and the Regions: 01 Border Operat ASEC Increase letter.pdf	\\SD00BCVAP1807\objectexporter\destination\Broker_2020121508381
Enterprise: Operations and the Regions: 01 Border Operat ASEC Increase letter.pdf	\\SD00BCVAP1807\objectexporter\destination\Broker_2020121508381
Enterprise: Operations and the Regions: 01 Border Operat ASEC Increase letter.pdf	\\SD00BCVAP1807\objectexporter\destination\Broker_2020121508381
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7. Changed the column name title.Element:Text to 'title'. Then saved the excel and uploaded the excel to the DB. The DB table was named B-in-the-name-C205\_OIFile.

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8. In the table C205\_OIFile, added two new columns named 'Path' & 'FilePath' (Long Text type).

9. Validated that the row count in C205\_NEW\_OIFile and C205\_OIFile are the same. If they were different, then highlighted them and investigated. (The content Inventory data count and number of files extracted should be the same).

10. Ran the SQL to update the Path column

Update C205\_OIFile set Path=location&'&'&title;

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11. Ran on the below SQL to replace the path original source path with the VDI file share path (like \\SD00BCVAP1807\objectexporter\destination) with VDI Fileshare path and populate the value in 'FilePath' column.

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Update C205\_OIFile set FilePath=Replace(file, '\\SD00BCVAP1807\objectexporter\destination', '\\SAPDATA\Interfaces\RS2\UnstructuredData\C205\');

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12. Ran the below SQL to copy the Filepath to the Main Table C205\_NEW\_V2

Update C205\_NEW, C205\_OIFile set C205\_NEW.FilePath=C205\_OIFile.FilePath where  
 C205\_NEW.Path=C205\_OIFile.Path;

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13. Identified the rows that were readyare good to load. Excluded any records which were identified out of scope during profiling and cleansing. (e.g. zero-byte files). Excluded files that are zero kb, which were identified to be excluded during profiling and cleansing.

14. Ran the query to get unique list of Licence Numbers for the documents identified as good to load.

Select distinct [Licence Number] from C205\_NEW where GoodToLoad is null

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 No bullets or numbering

15. ObtainedGet the SAPUID for those Licence Numbers and updated the table C205\_NEW with the SAPUID. In order to retrieve the proper SAP UIDs, a database view was created with the following logic:

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Input	Process	Output	View Name
Company Name, License Number	Obtain BN9 from Broker Master List (Excel). Once C140 is loaded, get IDNUMBER from BUTOID table  Take BN9 to SAP BUT000-BPEXT, get BUT000-PARTNER	Company Name, License Number, BP Number	Z_CUSTOMSBRKRS

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16. Verified the BW exists in the system for all of the SAPUIDs. If not already, then they should be created by coordinating with corresponding S/4 and CRM teams, if not created.

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17. Verified all the BW required are created in Content Server by running the below querythe below query run in Content Server: , if not created it.

Commented [TS5]:

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Select \* from CTSAPXECM WKSP LINKS where ID\_BO in (\*Unique SAPUIDs from C205\_NEW table)

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Identify the rows which are good to load (example exclude Files zero kb, which are identified to exclude during profiling and cleaning)

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Run the Below SQL to generate the output to an excel from the Main table, which we used as source input for the conversion tool.

18.

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Select FilePath as [Full Path], Name as [CS Name], DateValue(createdate) as [Date Received], FileSize, Format(SAPUID,'0000000000') as [SAP UID], " as BusWSID, 'Migrated Documents | Documents migres - Broker Licensing' as RelativePath, " as CSLocation, " as Error, mimetype, filename from C205\_NEW where GoodToLoad is null and SAPUID is not null;

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Commented [TS6]: Isn't this done as part of the CS Verification tool of the framework? Please state clearly if that is the case.

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Retrieved that 'c\_1 the business workspace was missingthey do, the workspace was created, they will be ded's

#### 4.1.3 Error Handling

The following measures were taken for error handling:

Enter any additional information that could be helpful in developing this conversion.

Document #: 31118139

Version: v1

Date: December 21, 2021March 5, 2021March 3, 2021February 19, 2021February 3, 2021February 3, 2021April 2, 2020January 10, 2020

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Page 29

1. Identified which the documents were are duplicate documents (i.e same CS Name going to the same SAPUID)

Select name, SAPUID, count(\*) from C205\_NEW where GoodToLoad is null group by name, SAPUID having count(\*)>1

Flagged the documents that do not have a SAPUID and created a report on document details.

2.

## 4.2 Load

Open the Master Config file in Conversion tool and set the below key.

sapObjType=BUS1006, otExType=XX, exFilespec=File Path of the input excel file, inclMime=true, col\_filename=11, col\_mime=10, oiFileNamePattern, oiLogFilePattern

Run the "1\_CSRedinessVerification.exe" which will do the below things.

- The tool will read input excel and find BWID in CS based on the SAPUID.
- Create the folders specified in 'Relative Path' column.
- Populate destination folder's CS path in Full Path column.
- Highlight any row where there is any issue or duplicate file.

Run the "2\_ICFGenerator.exe" which will do the below things.

- It will read the input excel and validate all the source filepath it found, if not it highlight that row in yellow color.
- Generate OI xml, 1000 (configurable) nodes per xml file.
- For C205 the source file is a binary file comes from OE from the source system that's why in the xml will get two extra tag mimetype and FileName.

```
<?xml version="1.0" encoding="UTF-8"?>
<import>
  <node action="create" type="document" rowID="2">
    <title>[C205] Internal Processors (Canada Inc.) Add Location.doc</title>
    <location>[C205]InternalProcessors (Canada Inc.) Add Location.doc</location>
    <file>[C205]InternalProcessors (Canada Inc.) Add Location.doc</file>
    <filename>[C205]InternalProcessors (Canada Inc.) Add Location.doc</filename>
    <mime>[C205]InternalProcessors (Canada Inc.) Add Location.doc</mime>
    <created>[C205]InternalProcessors (Canada Inc.) Add Location.doc</created>
  </node>
  <node action="create" type="document" rowID="3">
    <title>[C205]InternalProcessors (Canada Inc.) Add Location.doc</title>
    <location>[C205]InternalProcessors (Canada Inc.) Add Location.doc</location>
    <file>[C205]InternalProcessors (Canada Inc.) Add Location.doc</file>
    <filename>[C205]InternalProcessors (Canada Inc.) Add Location.doc</filename>
    <mime>[C205]InternalProcessors (Canada Inc.) Add Location.doc</mime>
    <created>[C205]InternalProcessors (Canada Inc.) Add Location.doc</created>
  </node>
</import>
```

Get the OI files from 'ICSFiles' folder under Conversion tool and drop under OI>Controlfiles folder.

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- Object importer will pick all the input xml and process them to load the document in CS under specified target location and generate a log file wil the load status for each xml file.
- Run "3\_OIMonitorUtil.exe" which will read the OI log files and generate a log with the error details and highlight the input excel file which document did not load.
- 4.1 If there is any error, fix it and create a new xml with those files and reload.

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#### 4.1.54.2.1 Object Information

Program Attributes	
Technical Name	
Description	
Extract File Location	
Package	

#### 4.2.2 Technical Solution Description

The below steps were executed to load the content.

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- Opened the Master Config file in the Conversion tool and set the below keyparameters:

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sapObjType=BUS1006, otExType=XX, exFilespec=File Path of the input excel file that was generated in the transform step, incldMime=true, col\_filename=11, col\_mime=10, oiFileNamePattern=C205Load-{count}.xml, oiLogFilePattern=C205Load-\*.log

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- Run the "1\_CSReadinessVerification.exe", which performed the following below things which will do the below things

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- The tool will read the input excel and found the BWS ID's from in CS based on the SAPUID
- The tool Created the folders specified in the 'Relative Path' column
- The tool populated the destination folder's CS path in the Full Path column
- The tool highlighted any row where there is was any issue or duplicate file

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- Run the "2\_ICFGenerator.exe", which performed the following: which will do the below things

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- It will read the input excel and validated all the source filepaths it found. If it did not find a source filepath in the VDI, not, the tool it will highlighted that row in yellow color.
- It will Generated an OI xml, 1000 (configurable) nodes per xml file.
- For C205, the source file is a binary file comes from OE from the source system (Apollo). This XML will have that's why in the xml will get two extra tags: mimetype and FileName.

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```
<?xml version="1.0" encoding="UTF-8"?>
<import>
  <node action="create" type="document" xowID="2">
    <title>[CDATA[DM: Global Forwarding (Canada) Inc. Add Location.xml]]</title>
    <location>[CDATA[Enterprise>Business Navigation >Load >revelal>Legal >Tools >For]]
    <file>[CDATA[\\SAPMENA\Interfaces\AI\OI\broken_02_10000077000000000000000000000000]]
    <filename>[CDATA[DM: Global Forwarding (Canada) Inc. Add Location.xml]]</filename>
    <mime>[CDATA[application/xml]]</mime>
    <created>[CDATA[20010102000000]]</created>
  </node>
  <node action="create" type="document" xowID="3">
    <title>[CDATA[Design: Certification.doc]]</title>
    <location>[CDATA[Enterprise>Business Navigation >Load >revelal>Legal >Tools >For]]
    <file>[CDATA[\\SAPMENA\Interfaces\AI\OI\broken_02_10000077000000000000000000000000]]
    <filename>[CDATA[Design: Certification.doc]]</filename>
    <mime>[CDATA[application/msword]]</mime>
    <created>[CDATA[20010102000000]]</created>
  </node>
</import>
```

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4. Retrieved the OI files from the 'ICSFiles' folder within the Conversion tool and dropped it in the \\SAPDATA\Interfaces\RS2\OI\>Controlfiles folder.
- Get the OI files from 'ICSFiles' folder under Conversion tool and drop under OI>Controlfiles folder.
5. The object importer read the input xml files and processed each node. It read the physical files from the VDI shared drive and loaded them in CS under the specified target location. It also generated a log file with the load status for each xml file.
- Object importer will pick all the input xml and process them to load the document in CS under specified target location and generate a log file with the load status for each xml file.
6. Ran "3\_OIMonitorUtil.exe", which read the OI log files. This generated a log with the error details regarding which documents did not load in the input excel file.
7. In the case that there was any error found, the errors were fixed. Then, a new xml was created with those files and the load was reattempted through the OI.
- Run "3\_OIMonitorUtil.exe" which will read the OI log files and generate a log with the error details and highlight the input excel file which document did not load.
- If there is any error, fix it and create a new xml with those files and reload re-attempt the load through OI.

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#### 4.1.6

For LSMW/ABAP Programs:

<Describe the program structure and how it processes the data that is to be received. Although complete pseudo-code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo-code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>

For ETL Tool:

<If the data will be loaded through BAPIs or IDOCs directly from ETL Tool, please explain the following details:>

Technical Details of IDOC/BAPI:

<Provide the name and details of the IDOCs and BAPIs that are going to be used. This should include the IDOC Type, Message Type, and any control parameters (including partner profiles) that must be configured to be able to invoke these IDOCs. Provide details of the segments of the IDOCs that are going

to be used for the particular conversion object. If multiple IDOC/BAPIs will be used to load the records, provide the sequence in which they must be executed, along with details of prerequisites and other conditions that must be fulfilled.  
If an IDOC/BAPI needs to be extended to include additional fields or segments, provide details of the development that is being carried out with the field details.>

Data Preparation:

<If the data has to be transformed to a specific structure or format before it can be loaded through the IDOC or BAPI, please provide the details here. Details may include nested schema or sub-schema requirements, control segment details of the IDOC, and any additional data (such as field check segments populated with 'X' for fields that are going to be loaded), please provide comprehensive details here.>

IDOC Processing:

<Provide details of any specific needs for processing the IDOCs in the target SAP ECC system. Include details of the transactions that will be used to process the IDOCs. If the IDOCs have to be processed in the background due to specific performance requirements, please mention details of background processing, including scheduling.>

**4.1.224.2.3 Error Handling**

<Enter any additional information that could be helpful in developing this conversion.>

**4.24.3 Auditing and Control Requirements**

## 5 Security and Controls

### 5.1 Security Requirements

This specification has no security impact on the CARM applications for end-users. Any conversion activities will be performed by the CARM Project Team through the approved, temporary assignment of a conversion role. Any tools will be captured and placed into a Managed Services role in the event that access is required during post-go live support.

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<b>Audit Trail / Logging</b>	Object Importer generates log files that indicate an object was created and when. OI also generates an "uncreate" file to indicate when failures occurred and why. Additionally, the DAuditNew table in Content Server will contain one creation event for each object created.  Every time a user views the document can also be audited (configurable in Content Server).
<b>Data Encryption / Decryption Requirements</b>	CARM is certified for the content being migrated so no additional encryption/decryption required.

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### 5.2 Auditing and Control Requirements

Please refer to section 3.4 – Verification and Reconciliation Procedure.

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## 6 Attachments and Documentation

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Version: v1

Page 35

Document #: 31118139

Version: v1

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# CBSA Assessment and Revenue Management (CARM) Solution

C276 CASE Importers & Brokers Program Enrollment case - conversion

## Document Control Information

### Document Information

<b>Document Identification</b>	44875307
<b>Document Name</b>	C276 – Importer & Broker Enrollment case conversion - ASEC
<b>Project Name</b>	CARM
<b>Client</b>	CBSA
<b>Document Author</b>	Randy Mistica
<b>Document Version</b>	1.1
<b>Document Status</b>	Initial Draft
<b>Date Released</b>	<Insert release date dd-mmm-yyyy>

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Version	Date	Additions/Modifications	Prepared/Revised by
1.0	12/23/2019	Sections 1-3	Randy Mistica
1.1	07/21/2020	Section 3	Kevin Zhong
1.2	2/22/2021	Section 3. Ignore the records without "Comments" field	Kevin Zhong
1.3	3/4/2021	Section 4, Add technical specification	Hai Thien Vu

### Document Review/Approval History

Date	Name	Organization/Title	Comments
< dd-mmm-yyyy >	<Name>	<Organization/Title>	<Comments>

## Distribution of Final Document

The following people are designated recipients of the final version of this document:

Name	Organization/Title
<Name>	<Organization/Title>

## Table of Contents

<b>1</b>	<b>Overview and Purpose</b>	<b>5</b>
1.1	Overview	5
1.2	Business Driver	6
1.3	Impacted Sub-Process(es)	6
1.4	Assumptions	6
1.5	Risks	7
1.6	Impacted Systems	7
<b>2</b>	<b>Functional Considerations</b>	<b>8</b>
2.1	Detailed Description	Error! Bookmark not defined.
2.2	Process Flow	8
2.3	Scheduling Requirement	9
2.4	Dependencies	10
2.4.1	Environment / Configuration	10
2.4.2	Development Dependencies	11
2.4.3	Run / Execution Dependencies	Error! Bookmark not defined.
<b>3</b>	<b>Detailed Design</b>	<b>12</b>
3.1	Mapping	12
3.2	Filtering Requirement	Error! Bookmark not defined.
3.3	Verification & Reconciliation Procedure	Error! Bookmark not defined.
3.4	Additional Information	Error! Bookmark not defined.
3.5	Testing Scenarios	12
<b>4</b>	<b>Technical Details</b>	<b>14</b>
4.1	Mapping & Transformation	14
4.1.1	Object Information	14
4.1.2	Technical Solution Description	14
4.1.3	Error Handling	15
4.2	Load	Error! Bookmark not defined.
4.2.1	Object Information	Error! Bookmark not defined.
4.2.2	Technical Solution Description	Error! Bookmark not defined.
4.2.3	Error Handling	Error! Bookmark not defined.
4.3	Auditing and Control Requirements	17
<b>5</b>	<b>Attachments and Documentation</b>	<b>18</b>

# 1 Overview and Purpose

<b>Object ID</b>	<b>C276</b>	<b>Business Process</b>	Sub-process name
<b>System</b>	PSCD / Hybris / etc.	<b>Component</b>	Examples in PSDC: Interest, Incoming Payments, Account Maintenance, etc.
<b>Object Type</b>	<input type="checkbox"/> Report <input type="checkbox"/> Interface <input checked="" type="checkbox"/> <b>Conversion</b> <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	Medium	<b>Translation Required?</b>	Yes / No
<b>Transaction Name</b>	N/A	<b>Program Name</b>	N/A
<b>Volume</b>	~ 5400	<b>Frequency of data create/update</b>	Ad-hoc basis as and when someone applies

## 1.1 Overview

Data conversion is the process of migrating the data from one system to another. This is a multi-step team effort that starts with discovery of data followed by data analysis & scoping. Scoping provided the baseline for the effort and supports effort estimation, cost estimation and sizing. Next steps include extract, cleanse, transform and load of data

At times, Importers or licensed Custom Brokers may wish to obtain the Release Prior to Payment (RPP) privilege. It is a privilege that entitles those who have posted financial security and obtained an account security number to: obtain the release of goods from CBSA before paying duties and taxes; defer accounting; and defer payment of duties and taxes.

To obtain the Account Security (ASEC) number, Importers and Brokers need to enroll in the ASEC program. ASEC applications are mailed to the CBSA's regional office, where they are reviewed and processed. The applicant then must provide applicable bond (security) amount. Upon approval, an entry is created in a different spreadsheet as well as CCS.

Currently, the solution for maintaining ASEC program enrolment master data is the use of Microsoft Excel spreadsheets by the Commercial Registration Unit (CRU). However, with Release 2 of CARM, details for existing ASEC numbers will be consolidated in SAP S/4HANA, the central component of the CARM solution.

This functional specification outlines the activity of converting and migrating data elements for existing ASEC numbers to their respective Importers and Customs Brokers and fulfils the following requirements:

- **R1098** – CARM should enable CBSA to bring over all the client master data as part of the initial load from all the retiring systems and other sources currently used to store client master data

for the purpose of administering enrolment in CBSA commercial programs as listed in SOW Appendix-3, Capability: Registration and Enrolment.

- **R1135** – The contractor must expect to receive bulk loads of data from the legacy systems the contractor is replacing. The contractor must transform this data and load the new solution. The contractor must consult data owners on data definition and resolving conflicts in data definitions prior to transformation.
- **R1216** – Provide Existing Spreadsheet, Transform and Load into CARM - Spreadsheet: ASEC program enrollment - Master Data migration - Select Dataset ONLY

## 1.2 Business Driver

- This stream of work will empower the CBSA to consolidate its IT landscape and processes and support modernization of the commercial line of business.
- This migration will consolidate ASEC enrolment information for the corresponding existing entities in ARL thereby helping the CBSA retire the spreadsheets currently used by the Commercial Registration Unit (CRU) and ASEC data in CCS thus minimizing maintenance and integration costs.
- By consolidating and associating the details of existing ASEC IDs to their respective Importers and Customs Brokers in CARM, the CBSA will have clearer and more detailed visibility on:
  - The specific program account types that are secured; Importers and Customs Brokers
  - Bond amounts, cancelled amounts, start and end dates
  - The name, address, contact information, and principal of the related surety company
  - In the case of Importers, which Broker is providing them a bond, if applicable

## 1.3 Impacted Sub-Process(es)

- 1.2 Enrol in Program – specifically Release Prior to Payment sub-program
- Financial Security
- Client Master Data Update

## 1.4 Assumptions

- Data extracts (including data cleansing) will be provided by the CBSA during the implementation cycles including development, testing and final cutover.
- While it was confirmed in the JAD session conducted on Nov 15<sup>th</sup> that the ASEC spreadsheet is the source of truth for ASEC related data for importers and customs brokers, it is known that CCS also holds ASEC data. The design in the specification covers the migration of ASEC and related data from the ASEC spreadsheet only.
- The conversion will be to enhance existing importers and customs brokers for whom client master data objects exist in CARM (from ARL) with AEC (Financial Security) related data. Either the ASEC

number or the BN9 number in the source spreadsheet extract will be used as the key field to identify the client data in CARM (i.e. using the ASEC or BN9 number identify the BP/CA/CO). If an ASEC number record found in the source spreadsheet is not found pre-existing in CARM, the subsequent data elements associated to that record will not be migrated unless and until the CBSA decides to create a BP ( Business Partner)/CA ( Contract Account)/CO (Contract Object)for that ASEC number to be assigned to. The migration program will be programmed to identify records in the source extract but not in CARM.

## 1.5 Risks

- Without this conversion, ASEC program enrollee details will be maintained in a siloed application leading to additional maintenance and integration efforts
- ASEC (Financial Security) enrolment will be via CARM using the portal from Release 2 onwards and thus by not migrating this data there will partial records in CARM

## 1.6 Impacted Systems

- ☒ SAP S/4HANA      ☐ Sales and Marketing / SAP CRM      ☐ SAP BI  
☐ Procurement / SRM   ☐ Portal                                      ☐ Middleware  
☐ Supply Chain / SCM   ☐ Others / Legacy (List Name/Function) \_\_\_ASEC(Excel)\_\_\_\_\_

## 2 Functional Considerations

Conversion SPEC C062 discuss the master data conversion of the custom broker data and importer data in ASEC. It is the prerequisite of this conversion.

The “Comments” field from the source ASEC document is not converted to master data in C062 . The field stores the historical interactions related to the TCPs and their financial transactions (Bonds).

This conversion is leveraging the interaction center designed in E024

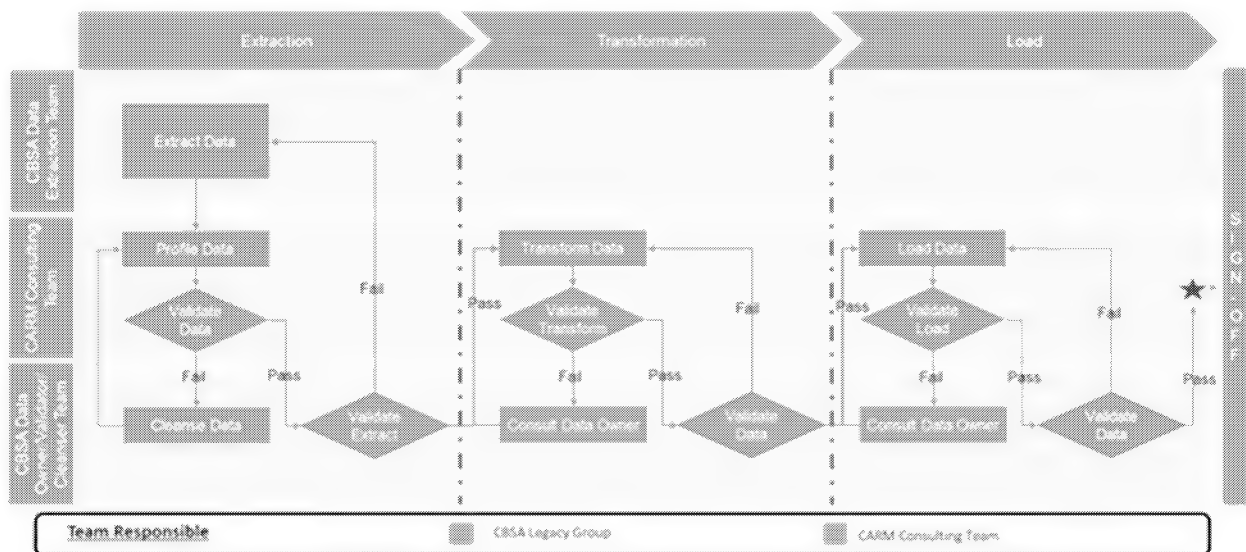
The interaction record converted will be visible to the users via the CBSA internal portal (E676).

Conversion C062 identifies the TCP of each individual record in ASEC.

Before the conversion program is run, The conversion team should combine all the comments under the same TCP and save them under the same line in the source file. The conversion transaction will have the TCP activity partner of the Interaction record.

### 2.1 Process Flow

#### R2 Data Conversion Role and Responsibilities



Process Step	Input	Processing / Mapping / Requirements	Output	Owner*
1	Extract data into a flat file(s)	Extract data	Flat data file(s) is extracted	CBSA
2	Profile and Validate data	Profile the data extract and validate for duplicates, inconsistencies, bad data. Any data inconsistencies will have to be resolved by CBSA (go back to step 1)	Data is profiled and validated for any bad/inconsistencies	Deloitte (profile and validate) CBSA (validate)
3	Clean up data	Clean data as profile output	Data is cleansed and validated, flat file available for transformation	CBSA
4	Convert and transform data	Transform data from the flat file into CARM compatible format	Data converted and transformed to be compatible with CARM	Deloitte (this design)
5	Conduct tests and validate successful transformation	Tests will be to ensure the data transformation is successful before loading into CARM.  All exception records will be reviewed manually by the CBSA (identifying and correcting mismatched field formats, lengths, missing mandatory fields, etc.) and addressed appropriately before proceeding.  Exception records should be either addressed via the conversion program fixes, and if it's a data issue then in the source file before the next test run.	Functional decision on validity	CBSA and Deloitte
6	Load data into CARM	Run the conversion program to load the data into CARM by reading the transformed, validated and cleaned up file	Data from source system is now into CARM	Deloitte (loading program)
7	Final business validation	Validate if data aligns with CBSA business logic	Decision of business logic validity	CBSA

## 2.2 Scheduling Requirement

- Prior to conversion into production, multiple Mock Cutovers will be conducted in testing environments to ensure the formats, field lengths, and data types are compatible between the source files and target tables. This process will also provide opportunities for refining the conversion program itself.

- After the successful completion of Mock Cutovers, conversion into production will be executed only once, in batch, during the final cutover. Care must be taken to ensure that the data extract file(s) from the ASEC spreadsheets have been reviewed and cleansed and are in an acceptable formats to be transformed and loaded into CARM.

## 2.3 Dependencies

### 2.3.1 Environment / Configuration

In S4/HANA system the following configuration steps are required to support the development. They will be done by the functional team

As part of E024, the following configuration steps are required:

- CLASS (Screen field name: Category) : CBSA (Existing entry)
- Action (Screen field name: Reason) : ASEC (New Entry)



### 2.3.2 Development Dependencies

- E676 (Ability to capture comments at client level) configuration and development

### 3 Detailed Design

After the ASEC master data conversion (C062) is done, the TCP BP and BN15 are determined of each ASEC records.

The broker / importer BP ID generated from C062 will be used in this conversion subsequently.

The conversion is run after C062 ( ASEC Master Data conversion) is done. In C062 the BP ID of the importer was determined with the BN15

The following function from E428 ( Interaction History) can be used to create the Interaction Records :  
 BAPI\_BCONTACT\_CREATEFROMDATA

The following parameters are available in the converted interaction record.

Screen Element	Dictionary Element	Value / Extract Logic
BN Number	BUT0ID-IDNUMBER	BP9 of the TCP ; Get BN15 of the TCP from C062. Take the first 9 digits as the BN9 value.
TCP BP ID	BUT000-PARTNER	Find BUT000-PARTNER where BUT000-BPEXT=<BN Number>
BP Title	CHAR240	BUT000-ORG_NAME1 where the BUT000-PARTNER = < TCP BP ID>
Category		"CBSA"
reason		"ASEC"
Notes	STRING	"Comments" field value from ASEC

Records without the "Comments" field from the source document should be ignored. No conversion of the corresponding record is required.

#### 3.1 Mapping

This mapping is assuming the



#### 3.2 Testing Scenarios

1. Load .CSV file with sample data from ASEC
2. Login S4/HANA , Open Fiori App "Fiori App: Interaction History. Find the converted records with the BN15 or the TCP BP ID.
3. Click on the transaction link and read all the comments in the transaction note type Conversion Note

4.

## 4 Technical Details

\*Begin of version 1.3 - Add

### 4.1 Mapping & Transformation

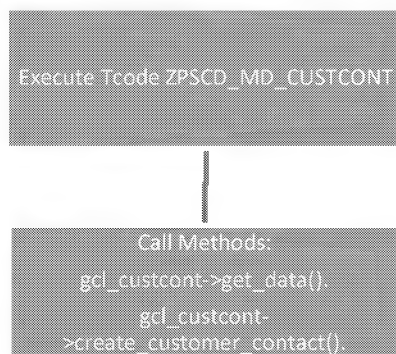
#### 4.1.1 Object Information

Program Attributes	
Technical Name	ZPSCD_MD_R_CR_CUSTCONT
Description	C276 - Importer & Broker Enrollment (Case Conversion)
Extract File Location	\\sapdata\interfaces\RS2\Conversion\Structured_Data\ASEC\C276\1_BUILD\1_INPUT_FILE\C276_input_file_ImporterRPP_BrokerLic_20200910_2.xlsx
Package	ZPSCD_MD

#### 4.1.2 Technical Solution Description

This program will create a new customer contact.

For ABAP Programs:



#### Objects created:

Transport number and objects created.



Transaction code	ZPSCD_MD_CUSTCONT		
Package	ZPSCD_MD		
Transaction text	C276 Importer & Broker Enrollment		
Program	ZPSCD_MD_R_CR_CUSTCONT		
Selection screen	1000		
Start with variant			
Authorization Object			Values

<b>Classification</b>	
Transaction classification	
<input checked="" type="radio"/> Professional User Transaction	Service <input type="text"/>
<input type="radio"/> Easy Web Transaction	
<input type="checkbox"/> Pervasive enabled	
GUI support	
<input checked="" type="checkbox"/> SAP GUI for HTML	
<input checked="" type="checkbox"/> SAP GUI for Java	
<input checked="" type="checkbox"/> SAP GUI for Windows	

#### Transaction Screen:

<b>C276 - Importer &amp; Broker Enrollment (Case Conversion)</b>	
Selection	
Input file	
<input checked="" type="radio"/> Presentation Server	D:\temp\C276.xlsx
<input type="radio"/> Application Server	<input type="text"/>
<input checked="" type="checkbox"/> Remove Header	
Options	
<input type="checkbox"/> Separator	<input type="checkbox"/> Separator TAB
<input checked="" type="checkbox"/> Test Run	

### 4.1.3 Error Handling

All the errors messages will be display in the ALV report at the end of the program execution.

Exemple:

ALV Report error: 'BN Number' 'BP Contact Number' Failed

Source file example:

BP ID	Comments	BN Number	N/A	N/A
		100001254	N/A	N/A
		100009570	N/A	N/A
		100043199	N/A	N/A
		100087592	N/A	N/A
		100148014	N/A	N/A

Main program ZPSCD\_MD\_R\_CR\_CUSTCONT\_MAIN:

```

25 *-----*
26 * Get data
27   gcl_custcont->get_data( EXPORTING it_ifile_pre   = gt_ifile_pre
28                           it_ifile_appl   = gt_ifile_appl
29                           CHANGING ct_custcont = gt_custcont ).
30 * Create customer contact
31   gcl_custcont->create_customer_contact( EXPORTING iv_file_ext = gv_file_ext
32                                           CHANGING ct_custcont = gt_custcont
33                                           cv_test    = p_test
34                                           ct_alv      = gt_alv ).
  
```

The main logic is in this include zpscd\_md\_cr\_custcont\_imp. *"Implementation class"*

Call method:

```

* Get data
  gcl_custcont->get_data().
  
```

\*Select the data only when Comments and BN Number are filled.

```

LOOP AT it_ifile_pre ASSIGNING <fs_ifile_pre> WHERE field2 IS NOT INITIAL
      AND field3 IS NOT INITIAL .
APPEND INITIAL LINE TO ct_custcont ASSIGNING <fs_custcont>.
<fs_custcont>-tcp_id   = <fs_ifile_pre>-field1.
<fs_custcont>-notes    = <fs_ifile_pre>-field2.
<fs_custcont>-bn_number = <fs_ifile_pre>-field3.
<fs_custcont>-cclass   = <fs_ifile_pre>-field4.
<fs_custcont>-activity = <fs_ifile_pre>-field5.
ENDLOOP.

```

```

*   Create customer contact
create_customer_contact()

SELECT partner, bpext FROM but000
FOR ALL ENTRIES IN @ct_custcont
WHERE bpext = @ct_custcont-bn_number
INTO TABLE @DATA(it_but000).

```

Call method:

```

* Create customer contact
gcl_custcont->create_customer_contact(

```

Main Select:

```

SELECT partner, bpext FROM but000
FOR ALL ENTRIES IN @ct_custcont
WHERE bpext = @ct_custcont-bn_number
INTO TABLE @DATA(it_but000).

```

```

*Create new Customer Contact (BCT0)
CALL FUNCTION 'BAPI_BCONTACT_CREATEFROMDATA'

```

\*ALV Report

```

gcl_report->add_line_alv()

```

\*End of version 1.3 – Add

**4.2 Special steps to do in the source file: None**

**4.3 Any assumptions, if applicable: None**

**4.4 Auditing and Control Requirements**

N/A

## 5 Security and Controls

### 5.1 Security Requirements

This specification has no security impact on the CARM applications for end-users. Any conversion activities will be performed by the CARM Project Team through the approved, temporary assignment of a conversion role. Any tools will be captured and placed into a Managed Services role in the event that access is required during post-go live support.

### 5.2 Auditing and Control Requirements

<b>Audit Trail / Logging</b>	
<b>Data Encryption / Decryption Requirements</b>	

## 6 Attachments and Documentation

*<Attach any additional information in the form of documentation/appendix/attachments.>*



# CBSA Assessment and Revenue Management (CARM) Solution

C802: Custom Broker Licence Financial Security (Bond) Conversion  
Detailed Design Specifications (Conversion)

## Document Control Information

### Document Information

<b>Document Identification</b>	48171259
<b>Document Name</b>	Custom Broker Licence Financial Security (Bond) Conversion
<b>Project Name</b>	CARM Release 2
<b>Client</b>	CBSA
<b>Document Author</b>	Jalal Rajan
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<b>Date Released</b>	Will be populated during the Build Phase

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Version	Date	Additions/Modifications	Prepared/Revised by
1.0	25-Feb-2020	Initial Draft Section 1-2-3	Jalal Rajan
2.0	25-Feb-2020	Reviewed	Ben Kane
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### Document Review/Approval History

Date	Name	Organization/Title	Comments
23-Apr-2020	Yoan Lebreux	CARM	Final Review

## Distribution of Final Document

The following people are designated recipients of the final version of this document:

Name	Organization/Title
<Name>	<Organization/Title>

## Table of Contents

<b>1</b>	<b>Overview and Purpose</b>	<b>5</b>
1.1	Overview	5
1.2	Business Driver	5
1.3	Impacted Sub-Process	5
1.4	Assumptions	6
1.5	Risks	6
1.6	Impacted Systems	6
<b>2</b>	<b>Functional Considerations</b>	<b>7</b>
2.1	Detailed Description	7
2.2	Process Flow	7
2.3	Scheduling Requirement	8
2.4	Dependencies	8
2.4.1	Environment / Configuration	8
2.4.2	Development Dependencies	8
2.4.3	Run / Execution Dependencies	8
<b>3</b>	<b>Detailed Design</b>	<b>9</b>
3.1	Mapping	9
3.2	Filtering Requirement	9
3.3	Verification & Reconciliation Procedure	9
3.4	Additional Information	9
	Error Log	9
	Create Functional module	9
3.5	Testing Scenarios	10
<b>4</b>	<b>Technical Details (to be completed during R2 build phase)</b>	<b>11</b>
4.1	Mapping & Transformation	11
4.1.1	Object Information	11
4.1.2	Technical Solution Description	11
4.1.3	Error Handling	11
4.2	Load	14
4.2.1	Object Information	14
4.2.2	Technical Solution Description	16
4.2.3	Error Handling	16
4.3	Auditing and Control Requirements	16
<b>5</b>	<b>Security and Controls</b>	<b>17</b>
5.1	Security Requirements	17
5.2	Auditing and Control Requirements	17
<b>6</b>	<b>Attachments and Documentation</b>	<b>18</b>

# 1 Overview and Purpose

<b>Object ID</b>	<b>C802</b>	<b>Business Process</b>	14.1.1: Accepting Financial Security 141.2: Monitoring Financial Security
<b>System</b>	CARM: SAP S4H-Security Deposit	<b>Component</b>	PSCD-Security Deposit
<b>Object Type</b>	<input type="checkbox"/> Report <input type="checkbox"/> Interface <input checked="" type="checkbox"/> <b>Conversion</b> <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	Medium	<b>Translation Required?</b>	No
<b>Transaction Name</b>	NA	<b>Program Name</b>	Financial conversion data will be populated in a spreadsheet
<b>Volume</b>	300	<b>Frequency of data create/update</b>	Fiscal year 2019-2020: new License issued-29, surrendered-16

## 1.1 Overview

Trade Chain Partner (TCP) who wants to become a Custom Broker is required to submit a Financial Security bond and once they submit the financial security bond and meet all the criteria, CBSA will issue them a Custom Broker License. Currently, bonds are submitted in paper, checks, Government of Canada Issued bonds and Cash Type bonds. This specs will only cover the Paper bonds conversion. All bonds are maintained and stored centrally in the HQ (Headquarters).

All types of Active bonds and Non-Active bonds are in scope for conversion.

This Functional Spec fulfils the following requirement:

RTM: R0805-Convert Security related information from Custom Broker License to CARM

## 1.2 Business Driver

Provide CBSA with a singular system to store and maintain all Financial Security bond records for all programs that requires submission of bonds.

## 1.3 Impacted Sub-Process

Conversion of Financial Security bonds does not impact any sub-process.

## 1.4 Assumptions

- Custom Broker License team will be responsible of conversion data extraction and will then populate an Excel spreadsheet with the data.
- Cleansing of data will be Custom Broker License team responsibility.
- Custom Broker License team will extract the data in Excel file format and place them in a drop zone (drop zone is in build phase by CARM conversion team).
- CARM conversion team will load the data in CARM PSCD-Security Deposit object.

## 1.5 Risks

If the Financial Security bonds are not converted in CARM:

- CBSA will have to maintain two systems to pull bonds information, e.g. Custom Broker License and CARM Security Deposit.
- CBSA vision to store, maintain and display financial security information will be defeated.

## 1.6 Impacted Systems

<Specify the systems that are impacted by this development.>

- |  |   |                                     |
|--|---|-------------------------------------|
| <input checked="" type="checkbox"/> SAP S/4 HANA | <input type="checkbox"/> Sales and Marketing / SAP CRM              | <input type="checkbox"/> SAP BI     |
| <input type="checkbox"/> Procurement / SRM       | <input checked="" type="checkbox"/> Portal                          | <input type="checkbox"/> Middleware |
| <input type="checkbox"/> Supply Chain / SCM      | <input type="checkbox"/> Others / Legacy (List Name/Function) _____ |                                     |

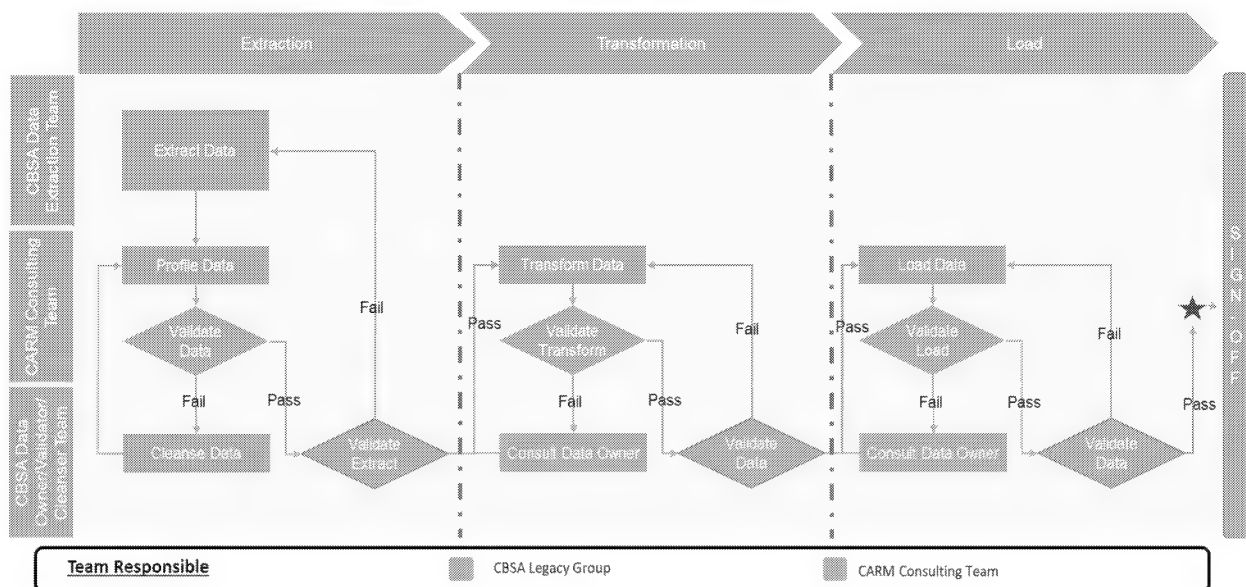
## 2 Functional Considerations

### 2.1 Detailed Description

- All Active bonds and Non-Active bonds are in scope for conversion.
- Extracted data will be placed in a drop zone in Excel file format.
- CARM conversion team will load the extracted data in CARM-PSCD Security deposit object.
- System will generate a unique ID for each financial security record that will be converted in CARM PSCD Security deposit object.
- Source (Custom Broker License) and Target (CARM PSCD Security Deposit) field data element will be mapped for smooth conversion of data
- CARM conversion team will build a program for functional consultant to load the conversion file for unit test.
- The conversion team will build an error log for the functional team to resolve any error that may occur during the testing and production conversion. Refer to section 3 for error log values required.
- Refer to section 3 of this document for table, fields and other conversion logics and validations.

### 2.2 Process Flow

#### R2 Data Conversion Role and Responsibilities



10

Process Step	Owner	Process	Output	Validation
1	Custom Broker License Team	Prepare conversion load file in Excel Spreadsheet	Conversion data will be stored in excel spreadsheet and placed in drop zone	Data will be validated by the owner of the data
2	CARM Consulting Team	Profile and validate data	None	Data profiling to ensure that the data is valid and accurate
3	Custom Broker License Team	Cleanse & Validate data	None	Cleanse and validate data that was identified during data profiling
4	CARM Conversion/Consulting Team	Transform & Validate data	None	Run the transformation logic to obtain the values that will be converted
5	Custom Broker License Team	Validate data	None	Validate data if required after transformation of the data.
6	CARM Conversion team	Load data	Data is converted in CARM and Financial Security deposit record is created	Validate the converted data
7	CARM Conversion/Consulting team	Verify error log	If any record fail to convert will appear in error log	Validate error log to identify why the data fail to convert
8	Custom Broker License Team	Validate converted data	None	Custom Broker License Team will validate the converted data

## 2.3 Scheduling Requirement

Conversion of Financial Security Bonds will be carried out during the cut over go-live. Functional team and the Conversion team will run the conversion program to load the files, no scheduling is required.

## 2.4 Dependencies

### 2.4.1 Environment / Configuration

Configuration: required for CARM PSCD security deposit, Master data and FACTS should be completed before the testing and go-live.

### 2.4.2 Development Dependencies

Field enhancement from FD E038 should be completed.

### 2.4.3 Run / Execution Dependencies

BP (Business Partners) related Master Data (BP (Business Partners) – CA (Contract Account) – CO (Contract Object)) should be loaded in CARM before running financial security file.

## 3 Detailed Design

### 3.1 Mapping

Mapping of Custom Broker License (source system) with Target system CARM PSCD Security Deposit object



C802-Custom Broker  
Licence mapping

### 3.2 Filtering Requirement

There is no filtering requirement.

### 3.3 Verification & Reconciliation Procedure

- Broker name will need to be mapped to broker's BP, CA, and CO as outlined within the mapping document.
- Number of bond record created from load file to be validate from the following table:
  - FKK\_SEC: Security Deposit
  - FKK\_SEC\_N: Non Cash security deposit
  - FKK\_SEC\_C: Contract for Security Deposit

### 3.4 Additional Information

#### Error Log

- The system will not create Financial Security bond records in CARM PSCD security deposit if any of the fields in the load file fail to post. For that record, the system will create an error log for the functional team to investigate and correct the record.
- The error log should contain all the fields of that record that failed to post in the CARM PSCD security deposit.

#### Create Functional module

- Call Functional Module "FKK\_S\_SECURITY\_CREATE" to create the security deposit record in CARM-PSCD security deposit object. Call BAPI\_CTRACSECURITY\_CREATE
- T-Code to create Security deposit record is: FPSEC1 Create Security Deposit
- System will generate a unique ID for each bond record converted in CARM-PSCD security deposit object

### 3.5 Testing Scenarios

Step #	Test Step	Test Data/Instruction	Expected Result
1	Execute SE16N: Go the following tale FKK_SEC: Security Deposit FKK_SEC_N: Non Cash security deposit FKK_SEC_C: Contract for Security Deposit	A: Count number of record vertically and reconcile with the load file B: Select at random converted bond record, and match the data with the load file	All record in load file should be created in the CARM PSCD Security deposit object. Number of record and the field should match with load file. Each converted record with unique Security ID will appear in all three tables.

## 4 Technical Details

### 4.1 Mapping & Transformation

#### 4.1.1 Object Information

Program Attributes	
Technical Name	ZPSCD_MD_R_BROLIC (TCode = ZPSCD_BROLIC)
Description	C802-Custom Broker Licence Financial Security (Bond) Conversion
Extract File Location	SAP Server
Package	ZPSCD_MD

#### 4.1.2 Technical Solution Description

The program **ZPSCD\_MD\_R\_BROLIC** program will be divided in four sections:

- Before run the program is MANDATORY set up the table tvarvc (TCode STVARV) and put in field NAME = **ZPSCD\_MD\_R\_BROLIC** in field TYPE = 'P' and in field LOW = the SAP server where is located the file to read in point b), for instance, E:\USR\SAP\CS1\D10\DATA\
- After finish the point a) in the selection screen is necessary to write the Server path and File name to read the data file. This file will be saved Tab-Delimited and moved to the SAP server using the button Execute 'Upload File'. See the following screenshot as with .TXT example:

The screenshot shows the SAP Selection Screen for the program 'C802 Custom Broker Licence Bond Conversion'. The screen is divided into three main sections: 'Selection', 'Input File', and 'Utility'. In the 'Input File' section, there is a text field labeled 'Server Path and File Name' with a file selection icon (F4) to its right. In the 'Utility' section, there are two buttons: 'Execute 'Upload File'' and 'Execute 'Download File''.

In case, the user can search the file to upload using the F4.

- After reading the file and put the data in an internal table (See structure below)

lights	TYPE	c(1)
field1	TYPE	non_cash_kk
field2	TYPE	zacct_iden
field3	TYPE	vtref_kk
field4	TYPE	zacct_iden
field5	TYPE	vtref_kk
field6	TYPE	vkont_kk
field7	TYPE	typ_kk
field8	TYPE	zgbn9
field9	TYPE	gpart_guarantor_kk
field10	TYPE	zgbn9,"zacct_iden
field11	TYPE	gpart_guarantor_kk
field12	TYPE	vkont_kk
field13	TYPE	vkont_kk
field14	TYPE	vkont_kk
field15	TYPE	gpart_guarantor_kk
field16	TYPE	refno_kk
field17	TYPE	waers
field18	TYPE	reason_kk
field19	TYPE	request_kk
field20	TYPE	sec_start_kk
field21	TYPE	sec_expire_kk
field22	TYPE	sec_return_kk
field23	TYPE	nc_status_kk
field24	TYPE	zstorage
field25	TYPE	bukrs
field26	TYPE	zlegislative_authority
field27	TYPE	string
field28	TYPE	string
field29	TYPE	ps_fact_generic
field30	TYPE	ps_fact_generic
field31	TYPE	security_kk
field32	TYPE	string

An example of this file is:

d) After finish point c) display the result using ALV with the following structure:

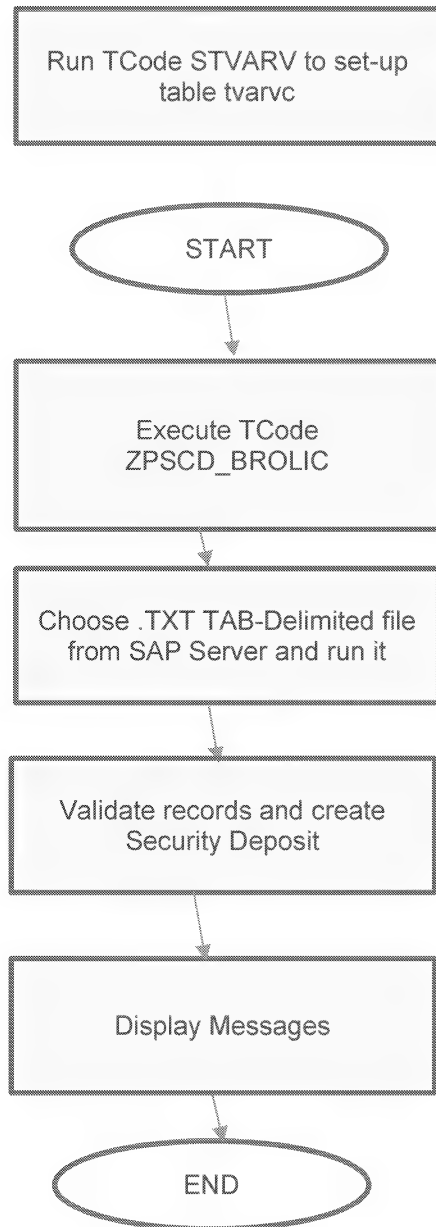
lights	TYPE	c(1)
field1	TYPE	non_cash_kk
field2	TYPE	zacct_iden
field3	TYPE	vtref_kk
field4	TYPE	zacct_iden
field5	TYPE	vtref_kk
field6	TYPE	vkont_kk
field7	TYPE	typ_kk
field8	TYPE	zgbn9
field9	TYPE	gpart_guarantor_kk
field10	TYPE	zgbn9,"zacct_iden
field11	TYPE	gpart_guarantor_kk
field12	TYPE	vkont_kk
field13	TYPE	vkont_kk
field14	TYPE	vkont_kk
field15	TYPE	gpart_guarantor_kk
field16	TYPE	refno_kk
field17	TYPE	waers
field18	TYPE	reason_kk
field19	TYPE	request_kk
field20	TYPE	sec_start_kk
field21	TYPE	sec_expire_kk
field22	TYPE	sec_return_kk
field23	TYPE	nc_status_kk
field24	TYPE	zstorage
field25	TYPE	bukrs
field26	TYPE	zlegislative_authority
field27	TYPE	string
field28	TYPE	string
field29	TYPE	ps_fact_generic
field30	TYPE	ps_fact_generic
field31	TYPE	security_kk
field32	TYPE	string

## 4.2 Load

### 4.2.1 Object Information

The High Level Technical flow shown below summarizes the overall functionalities of the custom program.

#### ✓ Technical Logic Flow



#### Objects created:

- Custom program: ZPSCD\_MD\_R\_BROLIC  
Transaction code: ZPSCD\_BROLIC

Description: C802-Custom Broker Licence Financial Security (Bond) Conversion  
 Package: ZPSCD\_MD

Transaction code: ZPSCD\_BROLIC

Create Report Transaction

Transaction code

ZPSCD\_BROLIC

Package

Transaction text

C802: Custom Broker Licence Fin.Sec.

Program

ZPSCD\_MD\_R\_BROLIC

Selection screen

1000

Start with variant

Authorization Object

Values

Classification

Transaction classification

Professional User Transaction

Easy Web Transaction

Pervasive enabled

Service

GUI support

SAP GUI for HTML

SAP GUI for Java

SAP GUI for Windows

The ALV report will be like this:

C802 Custom Broker Licence Bond Conversion																
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																
Exec	(F1)Noncash Security Deposit	(F2)Account Identifier	(F3)Contract	(F4)Account Identifier	(F5)Contract	(F6)Contra	(F7)H	(F8)Guarantor BMO	(F9)Guarantor	(F10)Account Identifier	(F11)Guara	(F12)Contr	(F13)Contr	(F14)Contr	(F15)Guara	(F16)Bond Num
COD X	1042	12000001390				4000000155	20	999999143	11561349			6000000100	4000000155	10994271	271614	
COD X	1048	12000001582				4000000330	20	999999143	11561349			6000000100	4000000330	11347807	TH0003001188	
COD X	1051	12000001580				4000000028	20	999999143	11561349			6000000100	4000000028	11338064	TH50171023	
COD X	1099	12000001576				4000000027	20	999999143	11561346			6000000100	4000000027	11319958	TH50171017	
COD X	1105	12000001576				4000000324	20	999999143	11561340			6000000100	4000000324	11284428	1-818321	
COD X	1143	12000001575				4000000323	30						4000000323	11283630	TH50171008	
COD X	1184	12000001574				4000000322	40						4000000322	11268074	TH50171113	
COD X	1257	12000001573				4000000321	50						4000000321	11251236	271614	
COD X	1283	12000001568				4000000349	60						4000000349	11230294	TH50171152	
COD X	1300	12000001565				4000000315	20	999999143	11561349			6000000100	4000000315	11218972	271614	

C802 Custom Broker Licence Bond Conversion															
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>															
Exec	(F17)C	(F18)	(F19)Bond	(F20)Bond	(F21)Bond	(F22)Bond	(F23)Physical storage location	(F25)	(F27)Legislative Authority	(F28)Endorsement	(F29)TCP BMS	Security Number	Error		
COD	CAD	1010	50,000.00	2005.01.06	2021.01.06		HQ	038	01	CUSTOMS BROKERS LICENSING REG	1234	X	100000000281		
COD	CAD	1010	50,000.00	1996.03.31	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	#rtu455	X	100000000282		
COD	CAD	1010	50,000.00	2008.03.31	2022.03.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	TH#1234	X	100000000283		
COD	CAD	1010	50,000.00	2008.03.31	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	TH50171038	X	100000000284		
COD	CAD	1010	100,000.00	1971.07.02	2023.07.02		HQ	038	01	CUSTOMS BROKERS LICENSING REG	TH50171113	X	100000000285		
COD	CAD	1010	50,000.00	2008.03.31	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	271614	X	100000000286		
COD	CAD	1010	50,000.00	2004.03.24	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	TH50171152	X	100000000287		
COD	CAD	1010	50,000.00	2002.02.05	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG	271614	X	100000000288		
COD	CAD	1010	150,000.00	2008.09.26	9999.12.31		HQ	038	01	CUSTOMS BROKERS LICENSING REG		X	100000000289		
COD	CAD	1010	50,000.00	2003.03.03	9999.12.31	2020.03.03	30 HQ	038	01	CUSTOMS BROKERS LICENSING REG		X	100000000290		

The BAPI used to create a Security Deposit is FKK\_S\_SECURITY\_CREATE; refer to the program for more details.

## 4.2.2 Technical Solution Description

### For LSMW/ABAP Programs:

*<Describe the program structure and how it processes the data that is to be received. Although complete pseudo code is not necessary, include it in cases where the functionality can be better verified by reading the pseudo code than by reading descriptive text (for example, it is easier to read a SELECT statement as it is than to describe it whereas it is simpler to just mention that you want to find out the number of days in the current month than to write pseudo-code for it). Please use proper formatting and bulleting in this section to facilitate readability and ease of review.>*

### For ETL Tool:

*<If the data will be loaded through BAPIs or IDOCs directly from ETL Tool, please explain the following details:>*

### Technical Details of IDOC/BAPI:

*<Provide the name and details of the IDOCs and BAPIs that are going to be used. This should include the IDOC Type, Message Type, and any control parameters (including partner profiles) that must be configured to be able to invoke these IDOCs. Provide details of the segments of the IDOCs that are going to be used for the particular conversion object. If multiple IDOC/BAPIs will be used to load the records, provide the sequence in which they must be executed, along with details of prerequisites and other conditions that must be fulfilled.*

*If an IDOC/BAPI needs to be extended to include additional fields or segments, provide details of the development that is being carried out with the field details.>*

### Data Preparation:

*<If the data has to be transformed to a specific structure or format before it can be loaded through the IDOC or BAPI, please provide the details here. Details may include nested schema or sub-schema requirements, control segment details of the IDOC, and any additional data (such as field check segments populated with 'X' for fields that are going to be loaded), please provide comprehensive details here.>*

### IDOC Processing:

*<Provide details of any specific needs for processing the IDOCs in the target SAP ECC system. Include details of the transactions that will be used to process the IDOCs. If the IDOCs have to be processed in the background due to specific performance requirements, please mention details of background processing, including scheduling.>*

## 4.2.3 Error Handling

*<Enter any additional information that could be helpful in developing this conversion.>*

## 4.3 Auditing and Control Requirements

## 5 Security and Controls

### 5.1 Security Requirements

There are no security requirements for this conversion object.

Audit Trail / Logging	Log the date/time of bond successfully loaded.
-----------------------	--

### 5.2 Auditing and Control Requirements

Standard change history tables in PSCD's security deposit sub-component will be used for audit history of the bonds stored in SAP.

## 6 Attachments and Documentation

BROKER MASTER LIST CLSU.xlsx

# Executive Summary of CARM's Changes by Process – Release 1



## Register Client

1. Implementation of a client registration process to get access to the CARM Client Portal



## Ruling

2. New SAP platform to manage all Advance, National Customs, and Same Condition Rulings
3. Harmonized process to manage Advance, National Customs, and Same Condition Rulings
4. Publication of ruling decisions



## Manage Billing

5. Statement of Accounts (SOAs) and basic client transaction information available on the CARM Client Portal



## Manage Payment Processing

6. New electronic payment options via the CARM Client Portal
7. Revised payment process at the border



## Manage Trade and Revenue Reporting and Analytics

8. Increased revenue data reporting capabilities with additional reports for chargebacks and payment Key Performance Indicators (KPIs)
9. New out of the box case management reports with additional drill-down capabilities



## Manage Client Master Data

10. New master data model (i.e. business-business relationships)



## Manage Tariff Calculation Rules and Validation Files

11. Streamlining the consolidation and distribution of tariff data
12. Customized SAP solution to manage tariff maintenance and publishing
13. Refreshed Published Tariff Book PDF and website
14. Introducing a Landed Cost Calculator



## CARM Client Portal

15. Introducing the CARM Client Portal
16. Introducing the Delegation of Authority with the CARM Client Portal
17. Introduction of an online tool for the classification of goods



## CARM Internal Portal

18. Introducing a new CARM Internal Portal



## Legacy Systems and Integration

19. Decommissioning of the Tariff Publishing and History System (TPHS)
20. Retiring of Accounts Receivable Ledger (ARL) CBSA infrastructure
21. Integration with OGD systems (i.e. CRA, PSPC, TB, DoF, and Stats Can)



## System Security

22. New process to select CARM/ARL security roles via the Identity and Access Management (IAM) System
23. CARM security roles added within the Access Review System (ARC)



## Documentation Management

24. New system and process for data/documentation maintenance and archiving

Legend: Technology Change

Process/Structure Change



CBSA Stakeholders Affected



TCP Stakeholders Affected



OGD Stakeholders Affected

# CARM's Changes by Process – Release 1 (Page 1 of 3)

## Register Client

### 1. Implementation of a client registration process to get access to the CARM Client Portal

- During R1 specifically, the CARM Client Portal will only serve existing clients (business account owners enrolled in a program) for them to view their business and program details. They will not be able to use the portal to enroll in a new program until R2 .
- The portal will also leverage tombstone data (address, name, contact information). TCPs will be able to enter in their business and program information, contact information, and delegate authority to representatives

## Ruling

### 2. New SAP platform to manage all Advance, National Customs, and Same Condition Rulings

- The proposed SAP case management application (with a new interface and additional standard features) would enable the CBSA to consolidate, manage, and process information about requests on Advance, National Customs, and Same Condition Rulings.
- Prohibited Goods Rulings will not be executed within the CARM system, but will be stored within CARM system. SIMA rulings will not be executed or stored within the CARM system.
- The case management tool would standardize the workflow to improve case integrity, ease of process execution, and support the communication flow and processing between organizational units.
- If a new ruling request can be linked to an existing ruling case, a Ruling Manager will be able to use the manual linking functionality within CARM. A case can only be linked if it related to the same TCP and same good. Case management would be made accessible to all the required CBSA staff via authorization, leveraging notifications and worklists.
- When rulings are closed, the decision rendered and status will be accessible with the case. The CARM system will be used to initiate, process, and manage new ruling requests, while TRS will be used as a reference system to look up past ruling decisions.

### 3. Harmonized process to manage Advance, National Customs, and Same Condition Rulings

- The harmonized process to manage rulings will have one activity flow for ruling types and appeals types (cases will be grouped as one of these two categories). The two categories are solely segregated for reporting purposes, but their flow is the same. For R1 , only ruling types will apply. For rulings specifically, sub-groups include Advance Rulings, National Customs Rulings, and Same Condition Rulings.
- TCPs will request rulings using the CARM Client Portal and rulings will be managed as a case. Case prioritization rules would be revised, standardized, and embedded into the system to simplify the management of rulings cases. All correspondence with TCPs will be done electronically (i.e. letters, messages and notifications).
- Ruling cases will be automatically sent to a case distributor who will manually assign/distribute cases to case executors. For ARs and NCRs, the CARM system will automatically distribute ruling cases regionally based where the cases originated. For SCRs, the CARM system will automatically distribute rulings cases to HQ.

## Ruling (con't)

- Only TCPs with access to the CCP will be able to request rulings electronically via the portal. All other types of clients will request rulings using the current state manual process. These type of rulings will be manually input into the CARM system.

### 4. Publication of ruling decisions

- CARM proposes that ruling decisions be publicly published on the CBSA website using features within CARM. As part of the submission, the TCPs will indicate whether they give consent to publish the ruling decision to the public. Published decisions will go through the case tool in CARM and show up on the Hybris externally-facing portal to provide visibility (for access and review).

## Manage Billing

### 5. Statement of Accounts (SOAs) and basic client transaction information available on the CARM Client Portal

- CARM proposes to move toward electronic-based statements of account (SOA), facilitated by the CCP . CARM will provide TCPs with basic account information (including monthly statements) via the client's online portal account.
- Email notifications will also advise the client that their statement is ready. Importers or their delegated authorities would be able to view invoices, Statements of Account, and any initiated corrections or adjustments via the CCP

## Manage Payment Processing

### 6. New electronic payment options via the CARM Client Portal

- In R1 , existing clients that onboard to the CCP will be able to pay electronically (including ad-hoc payments for miscellaneous invoices (K23s), ascertained forfeitures (K9s), and all respective sub-types).
- TCPs will be able to set-up and use pre-authorized debit (PAD) on the portal to withdraw the amount due of their Statement of Account. They could also pay by credit card or through their financial institution. The CBSA will be promoting the move towards only accepting electronic payment methods in the future.

### 6. Revised payment process at the border

- In R1, existing clients will be able to pay through the CCP at the Point of Entry (POE) using their personal devices (and it will have to be done prior to us releasing the goods). The option for non-deferred payment clients to pay via online banking at the POE will eventually be eliminated

# CARM's Changes by Process – Release 1 (Page 2 of 3)

## Manage Trade and Revenue Reporting and Analytics

### 8. Increased revenue data reporting capabilities with additional reports for chargebacks and payment Key Performance Indicators (KPIs)

- The proposed revenue data reporting and analytics tool would initially offer revenue reporting (standard) with additional reports for chargebacks and payment Key Performance Indicators (KPIs).
- Pre-defined standard and ad-hoc reports will be available via the CARM Internal Portal. The system will also offer Excel-based real-time analysis of the underlying data of standard reports (i.e. SAP Analysis for Office).

### 9. New out of the box case management reports with additional drill-down capabilities

- R1 will offer Ruling Officers with an out of the box case management reports with additional drill-down capabilities (i.e. SAP Analysis for Office).

## Manage Client Master Data (Ongoing - Request for Change to move to Release 2)

### 10. New master data model (i.e. business-business relationships)

- The new master data model will Go-live in R1 and all client types will be transitioned to the new master data model. Master Data Remodel changes the way that TCPs legal and entity information are stored within CARM. At this time, ARL becomes CARM.
- The objective of the remodel is to simplify the management and view of programs, enable CARM to integrate with PSCD (Public Sector Collections and Disbursement) component in SAP (which will improve the accuracy of how invoices and payments are posted to TCPs account), simplify the offsetting process and simplify the process to generate SOAs.
- Relationships will be accounted for using the BN15 number. Program types will be categorized to the contract account level and contract accounts will represent a grouping of all the program accounts. Program accounts will now be uniquely represented by a single contract object.
- Payments will continue to be allocated on a transactional basis in R1.
- The new data model will not affect the clearing process. Cleared transaction items will continue to reside on legacy accounts. In the event where the CBSA needs to process cleared transaction items (for account maintenance), CARM will provide utility programs (custom programs that users will be given access to) to make this process less manual.

## Manage Tariff Calculation Rules and Validation Files

### 11. Streamlining the consolidation and distribution of tariff data

- In the proposed process, the CBSA will receive policy updates from OGDs/World Customs Organization, validate and store updates, notify TCPs of upcoming changes, and then generate the publication and distribution files.
- The Published Tariff Book built in CARM will be able to consolidate all of the different file types to produce a PDF organized with chapters, notes, and schedules. CARM will be able to generate a file at a certain date to account for the most recent and active text or to view a previous version and compare changes.
- CARM aims to increase the consistency of CBSA decisions by having a more accurate information transfers among supporting systems and databases. Having this information available in a centralized location will result in less manual activities to retrieve what is needed.

## Manage Tariff Calculation Rules and Validation Files (Con't)

### 12. Customized SAP solution to manage tariff maintenance and publishing

- CARM proposes to implement a new, customized SAP solution to manage customs tariff rulings (converting and migrating TPHPs and CCS).
- This will provide the CBSA with a better interface and enhanced interactivity to create, view, update and control tables as well as upload bulk change files and generate consolidated outputs. CBSA Tariff Maintenance staff would be able to perform updates to tariff rulings and roll-out any required publications. The solution will provide some automation and will be embedded in the approval cycle.
- In the future, every tariff modification will be in production from the outset, but changes will not be released right away and will be driven by status. A change's status will be managed in "draft mode" to keep it from being live and causing an impact. This status can be changed to final and publish to be pulled into the official cycle. This change to the process will result in less effort needed to make tariff modifications and approve them.

### 13. Refreshed Published Tariff Book PDF and website

- CARM proposes to refresh the current Published Tariff Book PDF and Website, updating the format to make it easier for both CBSA and TCPs to use, thus avoiding potential mistakes.
- The updated Published Tariff Book will offer the same data but there will be changes to layout (new page numbers, headers, footers, and font) for a different look and feel.

### 14. Introducing a Landed Cost Calculator

- A Landed Cost Calculator (for duties and taxes) will be available for all TCPs as an embedded feature of the CCP. TCPs will still have to provide these calculations via their assessment, correction, and adjustment forms or via EDI. The new process will allow OGDs and TCPs to have easier access to tariff and other rate information, improving compliance and reducing corrections.
- API (Application Programming Interface) can be configured by TCPs to create a system-CARM connection to make API queries. Using these queries, TCPs will be able to ping CARM for information on duties, taxes, and other data to estimate the costs that would be incurred for their goods.

## CARM Client Portal

### 15. Customized SAP solution to manage tariff maintenance and publishing

- TCPs with an active RM account (i.e. Importers, Customs Brokers and Exporters) will be able to request access onto the new CCP to view and verify their client and financial information (i.e. Statement of Account). The CCP will allow TCPs to use a dedicated rulings webpage, select their program under their legal entity, and submit their request. TCPs will be able to view their account profile with their request's status/notifications (for current and past rulings), and submit ruling requests and supporting documentation for the requests. Detailed transactional information will not be available

# CARM's Changes by Process – Release 1 (Page 3 of 3)

## CARM Client Portal

### 16. Introducing the Delegation of Authority with the CARM Client Portal

- TCPs using the CCP will be able to delegate access to their business account to individuals and/or legal entities.
- Authority can be delegated to an individual, a group, or a business. Based on the delegated user's system profile, a checkbox to select RM accounts will be available to select to delegate certain programs (or to remove) as well as set an expiry date on the delegate's access. Customs Brokers will be able to link their portal account to an Importer's business before the Importer creates their business account for a limited period of time.
- All individuals can still be delegated access to a business account on the portal as long as they have created a user account.

### 17. Introduction of an online tool for the classification of goods

- CARM proposes the implementation of a new online tool on the CCP to help TCPs classify their goods. On the CCP, it will be accessible on the public Landed Cost Calculator page (which does not require TCP users to log in) and when TCPs are creating an Advance Ruling (as this requires authentication).
- The tool should reduce the number of classification errors and therefore reducing the need to go through the re-assessment process. Importers will be able to access automatic classification of their goods based on their description of the goods.

## CARM Internal Portal

### 18. Introducing a new CARM Internal Portal

- The CARM Internal Portal will be a web-based application with personalized apps configured for users. Users will be able to log in and launch the portal to view personalized apps configured for them. This portal will provide information on clients, making it easier for them to complete tasks.
- Proposed primary apps could include but are not limited to: Documents Center, Action Center, Commercial Client

## Legacy Systems and Integration

### 19. Decommissioning of the Tariff Publishing and History System (TPHS)

- As part of CARM's implementation, TPHS will be replaced and decommissioned. All data will be moved from TPHS to CARM.

### 20. Retiring of Accounts Receivable Ledger (ARL) CBSA infrastructure

- As part of CARM's implementation, ARL CBSA infrastructure will be retired. All data will be moved from ARL to CARM. ARL functionality will remain, but the system will be called CARM

### 21. Integration with OGD systems (i.e. CRA, PSPC, TB, DoF, and Stats Can)

- CARM will be integrating with CRA (See the security changes for additional details.)Regression testing will be required.

## Legacy Systems and Integration (Con't)

- CARM will be integrating with PSPC to account for the new payment options available in the CCP. The implementation of pre-authorized debit and the ability to pay with credit card via the CCP will need to be configured to automatically debit funds from TCPs and flow it to the Receiver General. PSPC will also be involved with the publication of rulings, as they will now be all translated.
- CARM will be integrating with the Treasury Board to use GC Key for portal authentication functionality and Single Sign-on for CBSA users.
- CARM will be integrating with the Department of Finance and Stats Canada for tariff data (from TPHS to SAP). It is a simple integration that may only require regression testing.

## System Security

### 22. New process to select CARM/ARL security roles via the Identity and Access Management (IAM) System

- Currently, managers are required to fill out a paper form to request access to the ARL system (i.e. HR CAS). With R1, CARM roles will be added to the IAM system and be available for managers to select and assign to their employees.

### 23. CARM security roles added within the Access Review System (ARC)

- For access requests, instead of managers manually filling out forms for ARL today, the future process will automate the removal and creation of user identities associated with CARM. Managers will be able to go in and verify what CARM access the people that they are responsible for have, and assign and change user roles.

## Documentation Management

### 24. New system and process for data/documentation maintenance and archiving

- As part of the implementation of the new content management system (i.e. OpenText), new maintenance activities will be required with regards to record management. These activities can be: managing classification and archives, changing the folder structure, producing the disposition report, managing business rules. The systems will also provide the ability to freeze accounts (e.g. block someone from adding or delete new documents).

# Other Key Considerations for CARM's Changes

- 1 CARM service management unit: BSD-D1 recommended the creation of a CARM service management unit to act as a liaison between the CBSA's business areas and Managed Services.**

*The unit would be responsible for assessing and validating requests for changes or updates to the CARM solution provided by business areas. If validated, the unit would also be responsible for creating service requests for Managed Services as well as keeping a record of system changes and updates resulting from service requests. Managed Services will be responsible for executing the service requests on behalf of the CBSA. Managed Services will be deployed as of Release 0, so it is recommended that this unit be established at Release 0. The workload of this unit may increase as there are a larger number of processes being implemented during Release 1. The CBSA should be prepared to increase the capacity of this unit if the workload increases.*
- 2 Client service support unit: An external client service support unit responsible for developing, overseeing and delivering a client service support strategy was recommended in BSD-D1.**

*The unit is intended to improve and streamline the client support experience by providing a single point of contact for resolving all non-technological client issues across the CBSA as well as Level 0 technological issues. The unit could consist of an amalgamation of current client service support resources such as those currently residing within Border Information Services (BIS), Technical Commercial Client Unit (TCCU), and Information, Science and Technology Branch (ISTB). Particularly related to CARM Release 1, employees working within the client service support unit will need to be well trained on the Release 1 processes to effectively answer and support client enquiries. Further, as the Release 1 interim state will result in temporary workarounds due to certain legacy systems not being decommissioned until Release 2 as well as certain client types not being included within CARM during Release 1, client service support employees will require a strong understanding of the workarounds along with their implications.*
- 3 Commercial and trade program registration and enrolment unit: BSD-D1 proposed a consolidated unit to oversee and execute program registration and enrolment exception cases that require manual intervention, and to coordinate with appropriate regions on cases requiring tasks performed by program-specific resources in regions (e.g. on-site visits).**

*While the CARM system will automate program registration, there are certain exception scenarios that will require manual intervention. It is recommended that the CBSA leverage existing resources who are involved in these manual interventions to create this unit. During Release 1, solely Importers, Canadian Exporters and Custom Brokers will be included as client types within CARM. Therefore, during this interim state, this unit would only be responsible for supporting the registration of existing clients to the CCP. While program enrolment will not be introduced until Release 2, it is recommended that this unit be implemented for Release 1 to proactively consolidate current resources who perform registration and enrolment tasks to begin to create a well-integrated*

# Broker Licensing Program Master Data Elements required in CARM

Thursday, January 9, 2020

**CARM** | CBSA Assessment and  
Revenue Management

# Agenda for Today's JAD Session

- Introductions
- Context & Purpose
- Review of Proposed Mapping
- Open Questions
- CARM R2 Master Data Model Overview
- Assumptions
- Conclusion & Next Steps

# Introductions

Functional Point of Contact:	• Syam Jamaly
Functional Lead:	• Anand Ramaswamy
Technical Lead:	• Muhammed Zafar Ahmed
Unstructured Content Conversion contacts:	• Hugh Ferguson • Sathya Thulasiraman

# Context & Purpose

CARM Release 2 will consolidate a large number of processes, both internal, CBSA-facing and external, TCP-facing processes. As part of this consolidation, different systems and sources of data across the agency will go through the process of ETL, Extract-Transform-Load, in order to source, shape, and house the data in those systems in CARM.

For this JAD Session, what we are focusing on is:

- Validation of the Broker Licensing program enrolment master data elements required in CARM

# Review of Proposed Mapping

Field Name	Proposed Action	Example
# of LIC	Not required in CARM	28
Licence NUMBER	Migrate to Master Data How can records be matched?	5555
Brokers' Name	Validate pre-existing data in CARM	Brokers'R'us
Street address		100 Thousand Ave., Suite 49
City		Ottawa
Prov		ON
PC		P05 T4L
Corporation Partnership Sole Proprietorship		Corporation
Mailing Address	Migrate to Master Data	1000 Million St., Suite 51
City		Ottawa, ON
PC		A1B 2C3
Tel #	If for Business Address, validate If for Mailing Address, migrate	613-987-4321
Fax #		613-321-0000
Toll free tel	Is this required?	1-800-555-5555

# Review of Proposed Mapping cont.

Field Name	Proposed Action	Example
Other or Toll free fax	Is this required?	1-877-963-2468
E-Mail Address	Migrate to Master Data	info@brokersrus.ca careers@brokersrus.ca
Website		www.brokersrus.ca
Directors	Is this required?	Tom Clancy Judy Pierre-Gilles
Qualified Officer	Migrate to Master Data	Shayne Gretzky
Qualified Officer Email		shaynegretzky@brokersrus.ca
Licensed Offices	Are these required?	Montreal, QC
Region		SOR
Regional Contact		Charles Arno
Date of License Bond	Part of a separate conversion activity	2019-12-31
Surety Company		Royal Bank of Canada
License Bond #		55-2299SC
Amount of License Bond		\$999,000
Cancelled License Bond		\$1,000

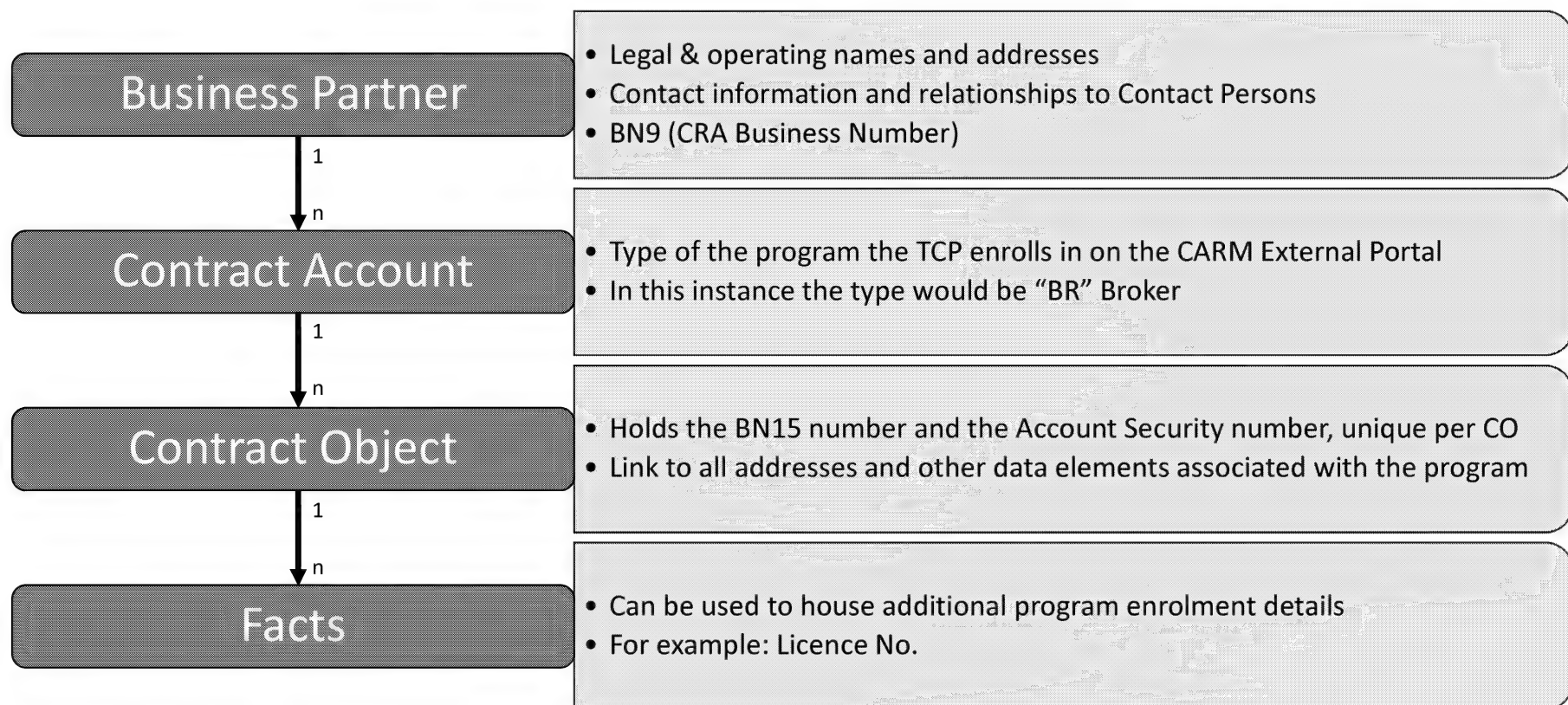
# Open Questions

1. What is the business process that needs to be successfully completed before a new Broker License is added to the License sheet? How about the Security sheet? Are these separate, sequenced processes?
  - Could this explain why there are ~550 Broker License records in the “BRK LIC ALPHA” (License) sheet but only ~290 Broker Security records in the “BRK RLS AS” (Security/ASEC) sheet?
2. Validate assumption: Data from only the Security sheet enters ARL. Reasoning is as follows:
  - In ARL, there are ~360 Broker master data records uniquely identified by their respective ASEC numbers, not their respective License numbers.
  - For example: Livingston has 28 Broker licenses in the License sheet, 5 records in the Security sheet, and those same 5 records in ARL.
  - If this is true, can we ignore the License sheet?
3. What data is provided to the ARL Support Team before they upload the data?
4. Are the Broker Name, Business Address and Mailing Address columns exactly the same across the License and Security sheets? Is there any column that can be used to match records between the two sheets?

## Open Questions cont.

5. Validate assumption: the Master List is the “Source (and Origin) of Truth” for Broker Licensing program enrolment master data. During conversion, should values in CARM be overwritten with those found in the Master List or have exception records generated?
6. What are the processes dependent on these data elements? In other words, which processes would fail without this spreadsheet?
7. Which systems feed into this spreadsheet? What does this spreadsheet feed to?
  - Validate: Data is entered manually.
  - Integration point of contact is Nirmitt Shah.
8. How is data deleted or archived?
  - Data purge point of contact is Michel Belanger.
9. Who are the users groups dependent on this spreadsheet?

# CARM R2 Master Data Model Overview



# Assumptions

- The CBSA will be responsible for data formatting and pre-validation activities to ensure that data formats are consistent; this will continue throughout the various test cycles. For example:
  - Institution names
  - Provinces/states and countries
  - Phone numbers and postal codes
  - Spaces, line breaks and dates
- The CBSA will be responsible for generating and providing the data extracts necessary for migration into CARM after the completion of cleansing and pre-validation activities.

# Conclusion & Next Steps

- Follow-up sessions or emails may be sent out afterwards to cover any outstanding questions
- If required, a walkthrough of the Master List may be requested

Master ID	Category	Commercial Continuum	Rule Description (November 2018 Risk Deep Dive Sessions)	TAPD Working Session (27th Thursday, June 2019) Comments and Thoughts about Enhancing and Refining Entity Rules	Questions for CBSA Stakeholders (i.e. TAPD)	Provide Details for Enhancing/Clarifying Rules
78	All	Manage Overdue Collections	Entity has outstanding debt	No input provided from TAPD		
New	All	Manage Overdue Collections	Entity has consistently missed payment due dates	Needs to be able to define # of missed payments within a defined period of time		
63	All	Manage Compliance	Entity has a compliance score below a given threshold	"Similar" company we know is bad. Company with similar behavior (i.e.. Importing country of origin, HS codes, value, volume etc.). Create a "match index" per factors (i.e. matchup of combination of above a threshold like, 75% match). <i>(Ask Suhas)</i>  Directors related/ part of non-compliant entities. Same as other known non-compliant entity or same address.  Non-Resident Importers 1. Physical address in US or Mexico and a) Books and records agreement signed b) b+ r agreement not signed (High Risk) 2) Physical address not Canada, US or Mexico (High Risk) 3) Physical address in Canada but mailing address or books and records address outside of Canada (High Risk)  Company does not keep their information up to date	What are the existing "match indexes"? Please provide more information on the B+R Agreement? More specifically, please spell out with B + R is.	
352	All	Register Client & Enroll in Program	Entity changes the surety company or financial institution used to post a bond	Does not believes this is a risk?		
457	All	Manage Compliance	Entity has not completed all documentation and steps in the time limits	No input provided from TAPD	What are the time limits for completing documents?	
92	All	Manage Compliance	Entity has late submissions in the last 6 months	No input provided from TAPD		
95	All	Manage Compliance	Entity has been dis-enrolled from a relevant program in the past year	Depends why (i.e. no longer in brokerage business)	Why was the entity dis-enrolled? What are the reasons that are considered greater risk in which an an entity dis-enrolled from a program?	
212	All	Manage Compliance	# of new AMPS issued to an Entity in the last month	<i>(Ask Suhas)</i> Low volume importers: 20% of transactions AMPED in last 6 months High volume importers: 10% of transactions AMPED in last 6 months For all: 2nd and 3rd level AMPS		
28	All	Manage Compliance	Entity is found on a watchlist	SIMA watchlist	What other watchlists should CBSA consider? Do they already exist or do we need to build it from scratch?	
New	All	Manage Compliance	# of CBSA verifications resultant	Non-revenue and A/R is high risk (ask Adam Peters from Trade Compliance)		
New	All	Manage Compliance	# of CBSA audits resultant	Redundant - remove		
New	All	Manage Compliance	# of issued AMPS above a given threshold	AMPS at 2nd and 3rd level <i>(ask Beatrice Dion)</i>		
New	All	Manage Compliance	# of CBSA secondary inspections resultant	Duplicate rule that can be part of "Entity was part of a resultant CBSA secondary inspection in the last 6 months"		
New	All	Manage Compliance	Entity was part of a resultant CBSA secondary inspection in the last 6 months	Clarify whether or not this is Revenue or HSS		
New	All	Manage Compliance	Entity has # of previous failed verifications	Entity has # of previous resultant verifications		
New	All	Manage Compliance	Entity has been late "X" times in providing requested information	Entity has been late "X" times in providing date, accounting, and penalties		
72	All	Register Client & Enroll in Program	Entity is a first time importer, duty free shop, warehouse operator, carrier, customs brokers	No input provided from TAPD		
71	Program-specific (brokers)		Entity has imported only 1 consignment in the last 12 months (low volume)	Needs to be able to define debt thresholds by importer Does not believes this is a risk?		

100	All	Remove - n/a	Entity recently cancelled a declaration and re-submitted a replacement	No input provided from TAPD		
342	Program-specific (brokers)		# of times an Entity brought in goods under temporary importation, that subsequently remained in Canada (no re-export) in the last 6 months	Not a risk if DRP presents		
323	All	Assessment	Entity has imported a high volume of goods	This is NOT risky on its own	What are the other factors to be considered if this is not risky on its own? What is considered high volume of goods?	
375	All	Assessment	Entity has processed a high volume of goods	No input provided from TAPD	What defines high volume of goods for an importer?	
376	All	Assessment	Entity has processed a low volume of goods	Does not believes this is a risk?		
New	All	Adjustments	Entity has filed prior B2 adjustments	Did not submit adjustments as required by compliance verifications ( <i>ask Beatrice Dion</i> ) Past that have been denied (refunds) submits B2 on high percentage of shipments	Do we measure this by number of adjustments of percentage of total imports, frequency, or combination etc. ?	
329	All	Assessment	Entity has been ONLY importing low value goods (CLVS) in the last 6 months i.e. nothing >\$2500 value	Entity used to import high value	Define high value	
20	All	Register Client & Enroll in Program	Entity is in their first year of operation with CBSA	Profile	Can someone please elaborate on what they mean by this?	
New	All	Manage Payment Processing	Entity has regular request payment that is larger than \$1,000,000 CAD	Is this related to (PAD) ? This is relevant only to import volums and materiality		
New	All	Manage Payment Processing	Entity has regular request payment between \$500,000 - \$1,000,000 CAD	Is this related to (PAD) ?		
New	All	Manage Payment Processing	Entity has regular request payment between \$100,000 - \$500,000 CAD	Is this related to (PAD) ?		
New	All	Appeals	Entity has SIMA refund greater than \$0 CAD	No input provided from TAPD		
#N/A	All	Register Client & Enroll in Program	Entity undergoes change of address	Frequent: more than 2X in one year Entity has a residential address Entity changes delegation to 3rd parties frequently		
436	All	Register Client & Enroll in Program	Entity has changed contact information "X" times in one year.	This might be more of a risk if their contact information never changes	How many changes in a year is considered to be risky?	
87	All	Register Client & Enroll in Program	Entity is a non-resident	US (medium risk), Mexico (medium risk), Other (high) Entity is a resident (or claims to be), but address is outside of Canada or at a 3rd party like broker or lawyer		
300	All	Register Client & Enroll in Program	Entity license is about to expire	Entity license is about to expire and is still importing	What type of licenses are of relevance and what are the expiration dates?	
426	All	Register Client & Enroll in Program	Last time the entity renewed their license	Does not believes this is a risk?		
15	All	Register Client & Enroll in Program	Entity is part of a trusted trader program	Program requirements ONLY - not a risk factor?		
156	All	Correction, Adjustment	Entity often makes changes and/or ammendments to their data	Consistent errors	How many errors/changes are considered	
NEW	All	Manage Overdue Collections	Entity has late payments in the last 6 months	Entity has late payments in the last X months		
rom trans	Program-specific (brokers)		Valuation – Broker compliance rate for valuation verification of its clients	No input provided from TAPD		
rom trans	All	Register Client & Enroll in Program	Entity "X" times losing deferred privileges	No input provided from TAPD	Define the parameters	
rom trans	All	Manage Overdue Collections	Entity's "X" NOA in the past 12 months	No input provided from TAPD	Define the parameters	
rom trans	All	Manage Overdue Collections	Entity has been in pre-collections "X" times in the past 12 months	Entity has been in pre-collections		
rom trans	All	Manage Overdue Collections	Entity has filed for bankruptcy	Entity has directors of previous bankrupt company		
78	All	Manage Overdue Collections	Entity has outstanding debt	No input provided from TAPD		
rom trans	All	Manage Overdue Collections	Entity has reached a defined dollar amount that ensures they go straight to CRA.	Redundant - remove (falls under pre-collections)		
rom trans	All	Manage Overdue Collections	Entity's "X" time at the 1st dunning stage in the past 12 months	No input provided from TAPD	Define the parameters	
rom trans	All	Manage Overdue Collections	Entity's "X" time at the 2nd dunning stage in the past 12 months	No input provided from TAPD	Define the parameters	
rom trans	All	Manage Payment Processing	Entity has "X" payment NSF or "X" PAD rejected	No input provided from TAPD	Define the parameters	

from trans	All	Manage Overdue Collections	Entity has "X" NOL issues	No input provided from TAPD	Define the parameters	
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Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

# CBSA Assessment and Revenue Management (CARM) Solution

I913 – EDI Transmission for Customs Brokers Monthly Statement -  
Detailed Design Specifications (Interface)

Canada

CARM | CBSA Assessment and  
Revenue Management

# Document Control Information

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0.1	12-Feb-2020	Sections 1, 2 and 3	Juan Cosio
0.2	21-Feb-2020	Functional Review	Anand Ramaswamy
0.3	21-Feb-2020	Updates after tech review	Juan Cosio

## Document Review/Approval History

Date	Name	Organization/Title	Comments
21-Feb-2020	Michel Belanger	CARM	Functional Integration Review

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Page 2

Distribution of Final Document

The following people are designated recipients of the final version of this document:

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## Table of Contents

<b>1 Overview and Purpose .....</b>	<b>5</b>
1.1 Overview .....	5
1.2 Business Driver .....	5
1.3 Impacted Sub-Process(es) .....	6
1.4 Assumptions .....	6
1.5 Risks .....	6
1.6 Impacted Systems .....	6
<b>2 Functional Considerations .....</b>	<b>7</b>
2.1 Detailed Description .....	7
2.2 Process Flow .....	7
2.3 Triggers and Other Process Requirements .....	8
2.3.1 Triggers .....	8
2.3.2 Filtering Criteria .....	8
2.3.3 Legacy Transaction Information .....	8
2.4 Dependencies .....	9
2.4.1 Environment / Configuration .....	9
2.4.2 Development Dependencies .....	9
2.4.3 Run / Execution Dependencies .....	9
<b>3 Detailed Design .....</b>	<b>10</b>
3.1 Interface Details .....	1241
3.2 XML Schema (XSD) .....	1241
3.3 Mapping and Transformation .....	1342
3.4 Process flow .....	1342
3.5 Additional Information .....	1413
3.6 Testing Scenarios .....	1413
3.7 Performance Considerations .....	1443
<b>4 Technical Details .....</b>	<b>1514</b>
4.1 Object Information .....	1744
4.2 Technical Solution Description .....	1846
4.3 Class Diagram .....	1946
4.4 Sequence Diagram .....	1946
4.5 Error Handling .....	2047
4.6 Namespace Configuration .....	2047
4.6.1 Data Types .....	2047
4.6.2 Data Type Enhancements .....	2047
4.6.3 Message Types .....	2047
4.6.4 External Definitions .....	2047
4.6.5 Service Interfaces .....	2148
4.6.6 Imported Objects .....	2148
4.7 Integration Builder Configuration .....	2249
4.7.1 Sender Communication Details .....	2249
4.7.2 Receiver Communication Details .....	2421
<b>5 Security and Controls .....</b>	<b>2724</b>
5.1 Security Requirements .....	2724
5.2 Auditing and Control Requirements .....	2724
5.2.1 Routing Rules .....	2724
<b>6 Attachments and Documentation .....</b>	<b>2826</b>

## 1 Overview and Purpose

<b>Object ID</b>	<b>I913</b>	<b>Business Process</b>	4.2 Automated Billing
<b>System</b>	PSCD/PI	<b>Component</b>	Correspondence
<b>Object Type</b>	<input type="checkbox"/> Report <input checked="" type="checkbox"/> <b>Interface outbound</b> <input type="checkbox"/> Conversion <input type="checkbox"/> Enhancement <input type="checkbox"/> Form <input type="checkbox"/> Workflow <input type="checkbox"/> Decision Definition		
<b>Complexity of Object</b>	Low	<b>Translation Required?</b>	Yes / No
<b>Transaction Name</b>	N/A	<b>Program Name</b>	N/A

### 1.1 Overview

The CBSA (Canada Border Services Agency) will continue to submit monthly statements and daily notices via the EDI (Electronic Data Interchange) interface to TCP's (Trade Chain Partner). The statements are generated in PSCD (SAP Public Sector Collection and Disbursement) in XML format and are distributed to their recipients via a series of middleware components which route and transform the statements into the desired format.

By developing this interface, the following CBSA requirements are met:

R0332-Must extend the existing system to implement a solution that integrates file transfers to B2B for external connectivity for statements of account.

R0332A-Must extend the existing system to implement a solution that integrates file transfers to B2B for external connectivity for daily notices.

### 1.2 Business Driver

Currently CBSA issues statements (Statement of Account (SOA) and Daily Notice (DN)) to TCPs. A sub-set of clients, mostly large-scale, rely on the statements being submitted via an EDI transmission in an XML format. The TCP use these statements in XML format to upload into their internal accounting systems for managing debt and payments with the CBSA. As part of CARM (CBSA Assessment and Revenue Management project), EDI transmission of financial statements needs to continue and will evolve from a flat file interface to a webservice data exchange. This document describes the required interface between CARM and TCP systems, in order to distribute Statements for Brokers in XML format.

### 1.3 Impacted Sub-Process(es)

- 4.2 Automated Billing

### 1.4 Assumptions

- The correspondence container and the ~~XML-Proxy~~ Payload are populated in PSCD by rules as created in E715 – Generate the monthly statement for Customs Brokers.
- ECCRD (Electronic Commerce Client Requirements Document) Chapter 24 has been presented as a DRAFT release to TCPs in Jan-Feb 2020 and the final version will not change substantially.

### 1.5 Risks

- By not building/modifying the current interface with the TCP's to transmit statements via EDI in XML format, the CBSA will require the TCP community (relying on statements being received via the EDI) to modify their process to manage debts and payments with CBSA. While not in CBSA's mandate directly, the agency may have a responsibility to support the key clients in their account management and EDI submission of the financial statements is a key factor.

### 1.6 Impacted Systems

- |   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> SAP S/4HANA   | <input type="checkbox"/> Sales and Marketing / SAP CRM | <input type="checkbox"/> SAP BI                                  |
| <input type="checkbox"/> Procurement / SRM  | <input type="checkbox"/> Portal                        | <input checked="" type="checkbox"/> Middleware <u>PI and B2B</u> |
| <input type="checkbox"/> Supply Chain / SCM <input type="checkbox"/> Others / Legacy (List Name/Function) |  |  |

Document #: TBD

Version: v1

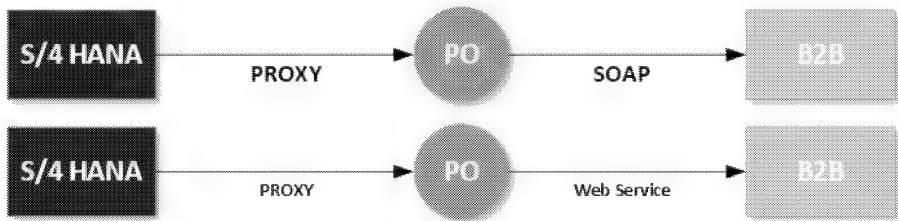
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~~June 10, 2020~~ May 22, 2020  
~~February 23, 2020~~ February 21, 2020

Status: Draft

Page 6

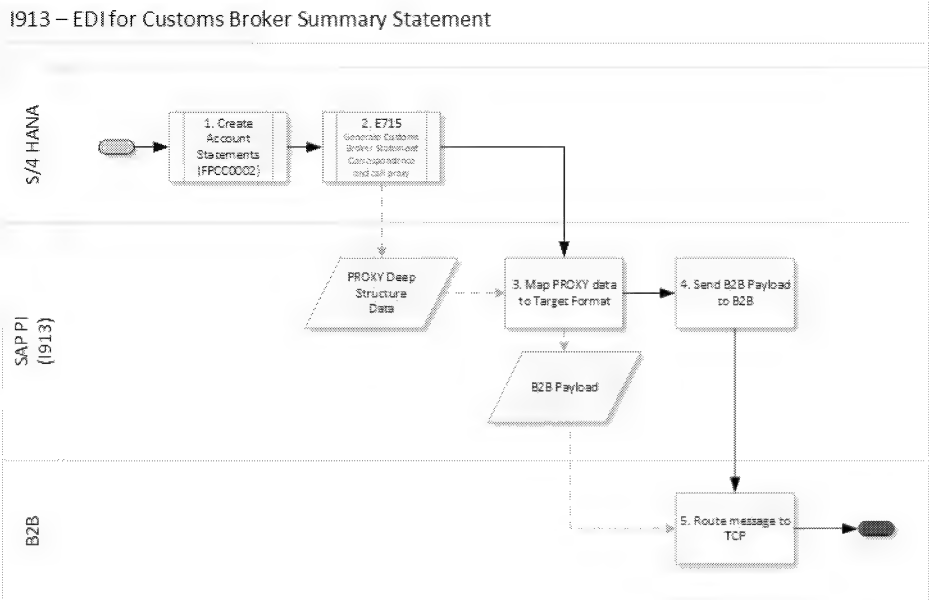
## 2 Functional Considerations

### 2.1 Detailed Description



This interface is mainly to activate and design the service call from S/4 HANA to B2B via Process Integration. The payload of the interface is documented in ECCRD Chapter 24.

### 2.2 Process Flow



Document #: TBD

Version: v1

Date: ~~December 21, 2021~~ June 13, 2020  
~~June 10, 2020~~ May 22, 2020  
~~February 23, 2020~~ February 21, 2020

Status: Draft

Page 7

Process Step	Input	Processing / Mapping / Requirements	Output
1 (E715)	Batch job to trigger the creation of Customs Brokers Statements (Transaction FPCC0002)	Job identifies all accounts for which a Customs Broker Summary Statement is required.	List of accounts eligible for Customs Broker Summary Statement, the transaction calls enhancement E715
2 (E715/ F126)	List of accounts from FPCC0002, enhancement is called internally by the transaction	Populates the correspondence container (For PDF generation later on) and the proxy fields	Populated Correspondence container and Payload for Proxy
3 (I913)	Payload for Proxy provided by E715	1-1 Mapping of fields to B2B format	B2B Payload
4 (I913 – PO – B2B)	B2B Payload	Distribute payload to B2B	Web Service Call with B2B Payload
5 (B2B)	B2B Payload	Enhance the payload with routing information	Distribute to TCP

## 2.3 Triggers and Other Process Requirements

### 2.3.1 Triggers

Transaction Name or Batch Job:	Directly spawned by E715 (Transaction FPCC0002), when generating a Statement for Customs Brokers.
File Appearing	N/A

### 2.3.2 Filtering Criteria

- Interface should only filter (and discard) incomplete messages. Incomplete messages are payloads that do not contain elements or field values marked as required, as per ECCRD Chapter 24 and the associated XML Schema (XSD).

### 2.3.3 Legacy Transaction Information

N/A

## 2.4 Dependencies

### 2.4.1 Environment / Configuration

- Ability to consume SAP PI proxy services from S/4 HANA
- Ability to consume B2B web services from SAP PI
- Ability to import external definitions (XSD schemas) to SAP PI
- Batch job to be created and setup with proper parameters

### 2.4.2 Development Dependencies

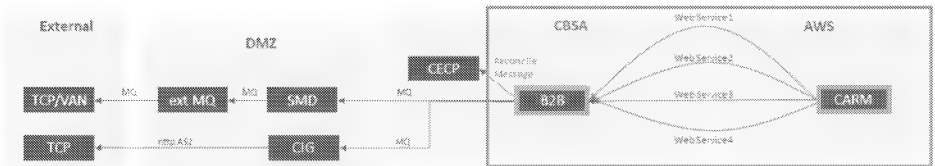
- E715 – Generate the monthly summary statement for Customs Brokers
- F126 - Design the monthly Broker Summary Statement
- P056 – TCP is able to view its accounting information history

### 2.4.3 Run / Execution Dependencies

- Called by E715 (Batch)

### 3 Detailed Design

Customs Brokers Summary Statements are generated in S/4 HANA and are available to TCPs via the External Portal (P056) or through EDI (In-house processor / Third-Party provider). In order to relay the Statement of Account to EDI recipients, S/4 HANA must be able to communicate with B2B, which is the message broker for external communications. Only eligible EdI recipients determined by E715 will receive this message.

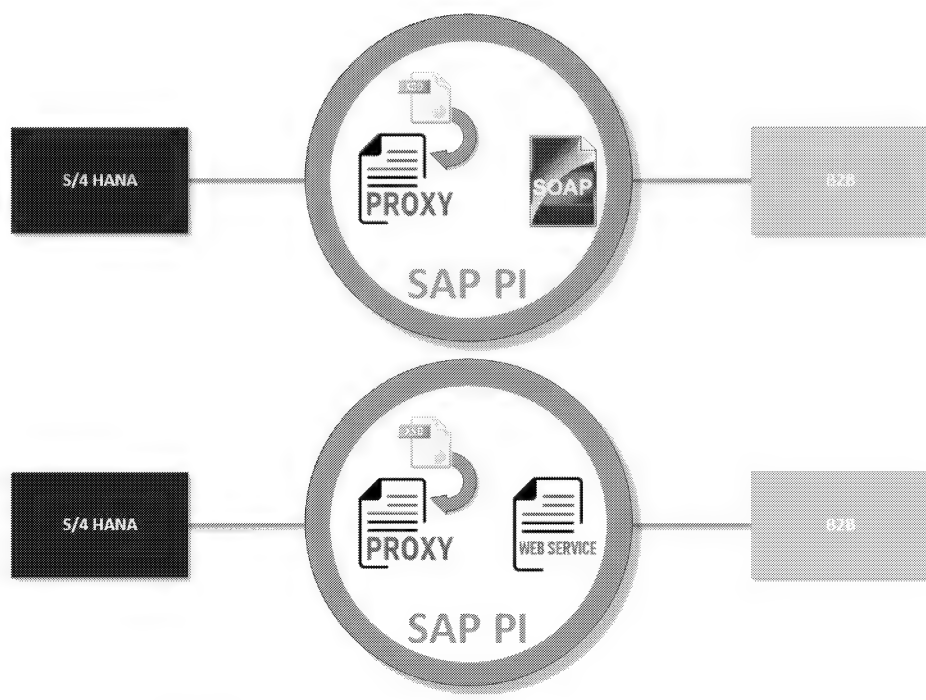


\*Source: Financial Statements JAD session Feb 2020.

From right to left:

The “message” (Customs Brokers Summary Statement) is generated by CARM (S/4 HANA) and transmitted to B2B for routing. B2B adds the routing string (to the XML payload) based on the TCP’s profile and forwards the message to the appropriate repository, which delivers the final message to the TCP in the desired format.

I913 describes the interface required to exchange messages between CARM and B2B (Highlighted in blue above). The preferred approach is to enable this interface through SAP’s middleware PI (Process Integration).



### 3.1 Interface Details

<b>Source</b> <i>Where is the data being sent from?</i>	SAP S/4 HANA (PSCD)
<b>Target</b> <i>Where is the data being sent to?</i>	B2B (TCP)
<b>Protocol</b> <i>How are we sending the data? E.g. flat file, web service etc.</i>	Proxy from HANA to PI Web Service from PI to B2B
<b>Frequency</b> <i>How often should the interface run?</i>	Monthly
<b>Push or Pull?</b> <i>Does the sender push data, or does the receiver pull data?</i>	Push
<b>Triggering Details</b> <i>Explain how this interface will be fired off. E.g. When a business partner is updated in Hybris the system must send the data to SAP S/4HANA.</i>	This interface is being triggered when Broker Summary Statements are generated through a batch job. Transaction FPCC0002. See E715.
<b>Average Record Volume</b> <i>Estimated record volume on average. E.g. 100,000 executions daily with 3 line items per execution.</i>	Expected volume is 300+ messages, once a month. Size estimate is 130Kb
<b>Peak Record Volume</b> <i>Estimated record volume during peak processing times. E.g. 100,000 executions daily with 3 line items per execution.</i>	300 messages daily with dozens of items per message.
<b>Sample File or Message</b> <i>For flat files provide sample files with data. For web services provide sample JSON with data.</i>	Not available at this time

### 3.2 XML Schema (XSD)

Two schema files will be imported to SAP PI as External Definitions:

I. ZCARM\_TYPES.xsd (Contains Data Type definitions used in Statement of Account, Daily Notices and Broker Summary schemas)

II. ZCARMCBSSBSR.xsd (Contains the Customs Broker Summary Statement Payload definition)

III. XML Schemas can be found in **XML Schemas**.

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Version: v1

Date: ~~December 21, 2021~~ June 18, 2020  
~~June 10, 2020~~ May 22, 2020  
~~February 23, 2020~~ February 21, 2020

Status: Draft

Page 12

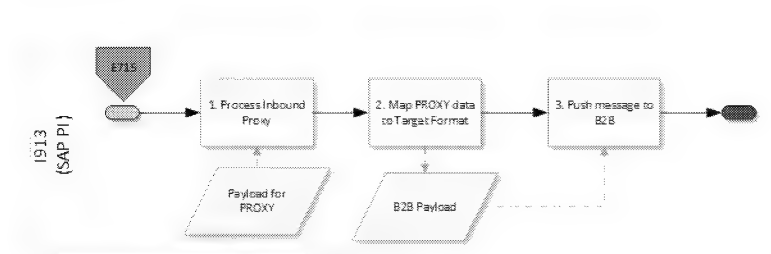
These files will be used to generate a Proxy interface (Via SAP PI or transaction SPROXY), which will be made available to *E715 – Generate the monthly summary statement for customs brokers for consumption.*

### 3.3 Mapping and Transformation



Mapping Sheet

### 3.4 Process flow



Process Step	Input	Processing / Mapping / Requirements	Output
1	Payload through (inbound) Proxy Interface	PROXY/XI adapter	Proxy Data
2	Proxy Data	Maps and transforms Proxy Data to Target Format. Implements File Split logic and adjusts Payload Parsing aids (Node counters and ID's)	Target Format
3	Target Format	Push Message to B2B	Message sent

### 3.5 Additional Information

Exception handling should continue as-is for ARL.

### 3.6 Testing Scenarios

Scenario	Description
1	Generate a Customs Broker Summary Statement for 1 TCP and trigger the interface
2	Generate an oversized Customs Broker Summary Statement for 1 TCP and trigger the interface (> 20MB)
3	Generate an incomplete Customs Broker Summary Statement for 1 TCP and trigger the interface
4	Generate multiple Customs Broker Summary Statements for multiple TCPs and trigger the interface

### 3.7 Performance Considerations

- The development object will be executed in batch.
- The form output will be run online.
- Expected volume is 300+ messages, once a month, on the same day.

## 4 Technical Details

### 4.1 PO Configuration

<b>IFlow Name</b>	TCP BSS Correspondence I913
<b>Description</b>	Custom Broker Summary Report

	<u>Sender</u>	<u>Receiver</u>
<b>System</b> <i>System name</i>	CARM (S/4 Client)	B2BBroker
<b>Interface</b>	SI BSS CORR Delivery Out	SI EDI CORR BSS Delivery In
<b>Namespace</b> <i>namespace for integration process</i>	urn:deloitte.com:i:car:m:r2	urn:cbsa-asfc.gc.ca:i:car:m:r2
<b>SWCV/SWCD</b>	DELOITTE   APPL, 1.0 of deloitte.com DELOITTE A COMMTRD, 1.0 of deloitte.com	CBSA   BROKER, 1.0 of cbsa-asfc.gc.ca
<b>Business System</b> <i>System name such as CARM, Hybris, OAG, eMAN,</i>	CARM	TCP
<b>Channel</b> <i>Communication channel</i>	SOAPSender	<del>DN CB Correspondence I915 FileReceiver</del> BSS Correspondence I913 Tempfilepath
<b>Adapter</b> <i>Adapter used for sending/receiving data</i>	SOAP XI 3.0	FILE
<b>Security</b> <i>Method of securing data during target send</i>	HTTPS	HTTPS
<b>Send File Name</b> <i>File naming conventions if dropping files</i>	N/A	N/A
<b>Payload Size (Bytes)</b>		5kb

Document #: TBD

Date: December 21, 2021  
 June 13, 2020  
 June 10, 2020  
 May 22, 2020  
 February 23, 2020  
 February 21, 2020

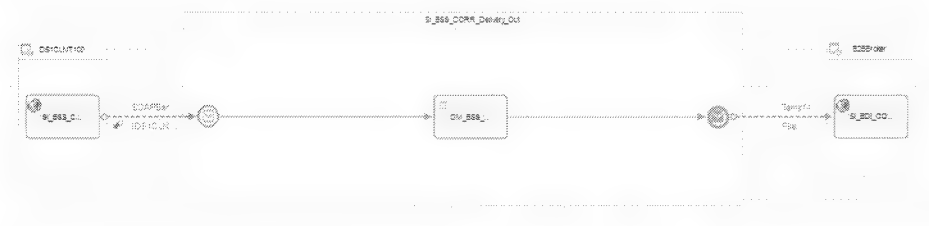
Status: Draft

Version: v1

Page 15

Estimated payload size per execution		
Execution Mode	<input type="checkbox"/> Synchronous	<input checked="" type="checkbox"/> Asynchronous

The interface will send asynchronous Broker Summary Statement from CARM to B2B



Integration Flow: TCP BSS Correspondence I913

#### 4.2 Proxy Information

Proxy Name	SI BSS CORR Delivery Out
Proxy Description <i>What is the operation being implemented?</i>	Outbound service interface for BSS
Proxy Input <i>What data is needed for this operation to work?</i>	The structure ZST_PSCD EDI CORR BSS MT provides the ABAP definition used by the method EXECUTE ASYNCHRONOUS of the proxy class ZCO_CL_PSCD_CORR_BSS_PROXY
Proxy Output <i>What is the result of this proxy?</i>	XML format of Broker Summary Statement
Proxy Logic <i>Describes the processing that takes place in the operation.</i>	Not applicable
Proxy Errors <i>What errors could be returned by this proxy?</i>	See error handling

#### 4.3 Error Handling

n/a.

Standard PI error handles exists for the IFLOW objects

Section 4 will be updated in the CARM Release 2 Build phase.

Document #: TBD

Version: v1

Date: December 21, 2021  
June 18, 2020  
June 10, 2020  
May 22, 2020  
February 23, 2020  
February 21, 2020

Status: Draft

Page 16

6.0 Object Information

Integration Process	<Name of PI Integration process. If no business process is required, mention as Not Applicable>
SWC and Namespace	<PI-SWC and namespace for integration process>
Description	<Description and/or graph of integration process>

Document #: TBD

Date: ~~December 21, 2021~~ June 18, 2020  
~~June 10, 2020~~ May 22, 2020  
~~February 23, 2020~~ February 21, 2020

Status: Draft

Version: v1

Page 17

## 18.0 Technical Solution Description

Source System	Source System Name
Source Document	Source Document Type (i.e. XML, JSON etc.)
Get Adapter	Adapter used for getting data from source system
Get Security	Method of securing data during source retrieval
Get File Name	File naming conventions if fetching files
Get Execution Mode	<input type="checkbox"/> Synchronous <input type="checkbox"/> Asynchronous
Integration Tool	Process Orx
Target System	Target system name
Target Document	Target Document Type (i.e. XML, JSON etc.)
Send Adapter	Adapter used for sending data to target system
Send Security	Method of securing data during target send
Send File Name	File naming conventions if dropping files
Send Execution Mode	<input type="checkbox"/> Synchronous <input type="checkbox"/> Asynchronous
Frequency	How often should the interface run?
Trigger	What triggers this interface to execute (if on-demand)
Record Volume	Estimated record volume (daily, hourly etc.)
Payload Size (Bytes)	Estimated payload size per execution

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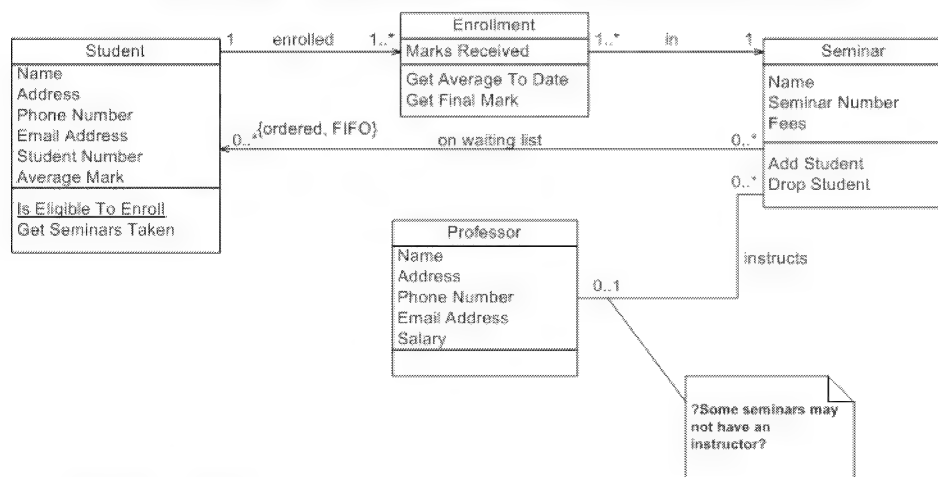
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Page 18

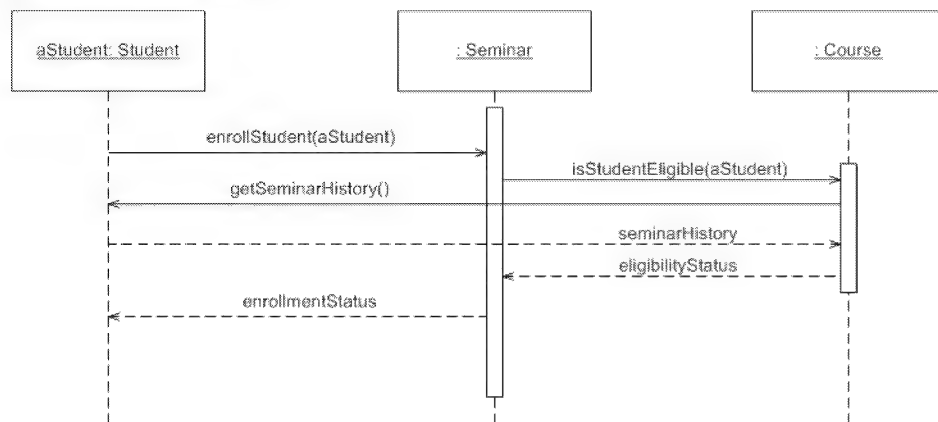
## 72.0 Class Diagram

<Insert a class diagram outlining the different classes/methods, functions/function groups etc. that will need to be created/enhanced to support the solution, and their relationship between each other>



## 75.0 Sequence Diagram

<Provide a high level overview of processing. Create a flow chart using MS-Visio and indicate clearly the start and termination conditions. Also list down the most important steps in processing>



## 79.0 Error Handling

<Enter any additional information that could be helpful in developing this interface.>

## 82.0 Namespace Configuration

This section repeats for each namespace configured for the interface.

### 84.0.0 Data Types

<Provide the list of Data Types used.>

Name	<name of data type>
Description	<mention the description>
Classification	<input type="checkbox"/> Free-Style <input type="checkbox"/> Core <input type="checkbox"/> Aggregated

### 95.0.0 Data Type Enhancements

<Provide the list of Data Type Enhancements used.>

Data Type Description	<description about Data type, and the kind of data it holds>			
Namespace	<Namespace of the Enhanced data type>			
Enhancement for Data Type	Name		<Data Type for which Enhancement needs to be done>	
	Namespace		<Namespace>	
Core Data Type Used, if any	Name	Namespace	Classification	Software Component Version

### 119.0.0 Message Types

<Provide the list of Message Types used.>

Name	<name of message type>
Description	<mention the description>
Data type	<mention the underlying root element data type>

### 130.0.0 External Definitions

External Definition Description	<description about External definition>
Category	<input type="checkbox"/> XSD <input type="checkbox"/> DTD <input type="checkbox"/> WSDL <input type="checkbox"/> Database Table
Namespace	<Namespace>

Document #: TBD

Version: v1

Date: December 21, 2021  
June 13, 2020  
June 10, 2020  
May 22, 2020  
February 23, 2020  
February 21, 2020

Status: Draft

Page 20

Additional Technical Description	<Mention any other parameter is required for specific Category. Like "Database Table" type of external definition needs Communication channel name>
----------------------------------	---

### 147.0.0 - Service Interfaces

<In case of RFC and IDOC interfaces, direction, mode, Request message type and Response message type can be skipped.>

Service Interface — 1 <mention here the integrating application systems involved>	
Name	<Name of Service Interface>
Description	<mention the description>
Namespace	<provide the namespace>
Category	<input type="checkbox"/> Inbound <input type="checkbox"/> Outbound <input type="checkbox"/> Abstract
Interface Pattern	<input type="checkbox"/> Stateless <input type="checkbox"/> Stateless (XI 3.0 compatible) <input type="checkbox"/> Stateful <input type="checkbox"/> TU&C/C
Associated Operations	<provide the operations associated with the service>

Operation — 1 <mention the operation>	
Name	<name of Operation>
Description	<mention the description>
Namespace	<provide the namespace>
Pattern	<input type="checkbox"/> normal <input type="checkbox"/> commit <input type="checkbox"/> rollback <input type="checkbox"/> compensate <input type="checkbox"/> confirm <input type="checkbox"/> tentative update
Mode	<input type="checkbox"/> Synchronous <input type="checkbox"/> Asynchronous
Associated Message Type	<mention the underlying Message type>
Role	<input type="checkbox"/> Request <input type="checkbox"/> Fault

### 198.0.0 - Imported Objects

<Provide the list of imported objects.>

Type	<input type="checkbox"/> IDOC <input type="checkbox"/> RFC
Name	<mention the name of the object imported>

## 208.0 Integration Builder Configuration

### 209.0.0 - Sender Communication Details

General			
Adapter Engine	<input type="checkbox"/> central	<input type="checkbox"/> decentral	<input type="checkbox"/> PCK
Party	<name of party. None for internal>	Channel	<name of channel>
Communication Component	<name of communication component>	Adapter Type	<mention the adapter type eg. File, JMS, Mail etc.>

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File Adapter					
File Format	<input type="checkbox"/> XML	<input type="checkbox"/> flat	<input type="checkbox"/> CSV		
Transfer Mode	<input type="checkbox"/> FTP push	<input type="checkbox"/> FTP pull	<input type="checkbox"/> local	<input type="checkbox"/> shared	<input type="checkbox"/> other
Post Processing	<e.g. trigger shell script>				
Additional Information	<e.g. backup/archiving requirements, check interval, filename pattern or general format description>				

IDoc Details on Sender			
Message Type	<name of idoc message type>		
IDoc Type	<name of idoc type>	IDoc Enhancement/Reduction	<name of idoc Enhancement>
Message Code	<message code in control header>	Message Function	<message function in control header>
Processing Mode	<input type="checkbox"/> immediate processing		<input type="checkbox"/> triggered by background job
Additional Information			

Database Adapter			
Database System	<name of DBMS>	Release / Version	<release of DBMS>
Table	<table to insert / update outbound data>		
Access Mode	<input type="checkbox"/> read		<input type="checkbox"/> read / write
Additional Information	<e.g. check interval, name of database table or view, selection criteria>		

Document #: TBD

Version: v1

Date: December 21, 2021  
 June 18, 2020  
 June 10, 2020  
 May 22, 2020  
 February 23, 2020  
 February 21, 2020

Status: Draft

Page 22

JMS Adapter					
JMS Message Format	<input type="checkbox"/> BytesMessage	<input type="checkbox"/> MapMessage	<input type="checkbox"/> ObjectMessage	<input type="checkbox"/> StreamMessage	<input type="checkbox"/> TextMessage
Transport Mode	<input type="checkbox"/> Transport Message			<input type="checkbox"/> XMB Message	
JMS Partner System	<name of JMS partner system>				
Additional Information					

RFC Adapter	
Function Module / BAPI	<name of function module or BAPI>
Execution Mode	<input type="checkbox"/> synchronous <input type="checkbox"/> asynchronous
Additional Information	

HTTP Adapter			
Service Name	<URL appendix. Do not include specific server names>		
Message Format	<input type="checkbox"/> XML	<input type="checkbox"/> flat	<input type="checkbox"/> CSV
Message Protocol	<input type="checkbox"/> HTTP		<input type="checkbox"/> HTTPS
Authentication Method	<input type="checkbox"/> certificate	<input type="checkbox"/> HTTP Post	<input type="checkbox"/> HTTP Get <input type="checkbox"/> other
Additional Information			

Web Service					
Service Name	<Name of Web Service. Do not include specific server names>				
Message Format	<input type="checkbox"/> Simple SOAP			<input type="checkbox"/> SOAP with Attachments	
Message Protocol	<input type="checkbox"/> HTTP			<input type="checkbox"/> HTTPS	
Authentication Method	<input type="checkbox"/> WS-Security	<input type="checkbox"/> certificate	<input type="checkbox"/> HTTP Post	<input type="checkbox"/> HTTP Get	<input type="checkbox"/> other
Additional Information					

Proxy details on Sender	
Proxy Name	<name of proxy>
Platform	<input type="checkbox"/> ABAP <input type="checkbox"/> J2EE
Execution Mode	<input type="checkbox"/> synchronous <input type="checkbox"/> asynchronous
Additional Information	

Adapter Enhancements	
Module	<name of module>
Implementation Details	
Additional Information	

#### 401.0.0 - Receiver Communication Details

General			
Adapter Engine	<input type="checkbox"/> central	<input type="checkbox"/> decentral	<input type="checkbox"/> PCK
Party	<name of party. None for internal>	Channel	<name of channel>
Communication Component	<name of communication component>	Adapter Type	<mention the adapter type eg. File, JMS, Mail etc.>

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File Adapter			
File Format	<input type="checkbox"/> XML	<input type="checkbox"/> flat	<input type="checkbox"/> CSV
Transfer Mode	<input type="checkbox"/> FTP push	<input type="checkbox"/> FTP pull	<input type="checkbox"/> local
Post Processing	<input type="checkbox"/> rename	<input type="checkbox"/> move	<input type="checkbox"/> delete
Additional Information	<e.g. filename pattern or general format description>		

IDoc Details on Receiver			
Message Type	<name-of-idoc-message-type>		
IDoc Type	<name-of-idoc-type>	IDoc Enhancement/Reduction	<name-of-idoc-Enhancement>
Message Code	<message-code-in-control-header>	Message Function	<message-function-in-control-header>
Process Code	<Process-code-to-be-used-for-incoming-IDocs>		
Processing Mode	<input type="checkbox"/> immediate processing		<input type="checkbox"/> triggered-by-background-job
Additional Information			

Document #: TBD

Version: v1

Date: ~~December 21, 2021~~  
~~June 18, 2020~~  
~~June 10, 2020~~  
~~May 22, 2020~~  
~~February 23, 2020~~  
February 21, 2020

Status: Draft

Page 24

Database Adapter			
Database System	<name of DBMS>	Release / Version	<release of DBMS>
Table / View	<table or view to read inbound data from>		
Access Mode	<input type="checkbox"/> write		<input type="checkbox"/> read / write
Additional Information	<e.g. name of database table or view>		

JMS Adapter					
JMS Message Format	<input type="checkbox"/> BytesMessage	<input type="checkbox"/> MapMessage	<input type="checkbox"/> ObjectMessage	<input type="checkbox"/> StreamMessage	<input type="checkbox"/> TextMessage
Transport Mode	<input type="checkbox"/> Transport Message			<input type="checkbox"/> XMB Message	
JMS Partner System	<name of JMS partner system>				
Additional Information					

RFC Adapter	
Function Module / BAPI	<name of function module or BAPI>
Execution Mode	<input type="checkbox"/> synchronous <input type="checkbox"/> asynchronous
Additional Information	

HTTP Adapter			
Service Name	<URL appendix. Do not include specific server names>		
Message Format	<input type="checkbox"/> XML	<input type="checkbox"/> flat	<input type="checkbox"/> CSV
Message Protocol	<input type="checkbox"/> HTTP		<input type="checkbox"/> HTTPS
Authentication Method	<input type="checkbox"/> certificate	<input type="checkbox"/> HTTP Post	<input type="checkbox"/> HTTP Get <input type="checkbox"/> other
Additional Information			

Web Service					
Service Name	<Name of Web Service. Do not include specific server names>				
Message Format	<input type="checkbox"/> Simple SOAP			<input type="checkbox"/> SOAP with Attachments	
Message Protocol	<input type="checkbox"/> HTTP			<input type="checkbox"/> HTTPS	
Authentication Method	<input type="checkbox"/> WS-Security	<input type="checkbox"/> certificate	<input type="checkbox"/> HTTP Post	<input type="checkbox"/> HTTP Get	<input type="checkbox"/> other
Additional Information					

Proxy details on Receiver	
Proxy Name	<name of proxy>
Platform	<input type="checkbox"/> ABAP <input type="checkbox"/> J2EE
Execution Mode	<input type="checkbox"/> synchronous <input type="checkbox"/> asynchronous

Adapter Enhancements	
Module	<name of module>
Implementation Details	
Additional Information	

**5955 Security and Controls**

**595.15.1 Security Requirements**

This specification has no security impact on the CARM applications. S/4 HANA relies on a trusted connection to SAP PI, which should be in place today.

**595.25.2 Auditing and Control Requirements**

N/A

**Payload Archiving**

- Short Term – 60 Days

**595.2.15.2.1 Routing Rules**

N/A

5966 Attachments and Documentation

6.1 ~~<Attach any additional information in the form of documentation/appendix/attachments.>~~ XML Schemas

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Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

CBSA - Released under the Access to Information Act  
ASFC - Divulgué en vertu de la Loi sur l'accès à l'information

# CBSA Assessment and Revenue Management (CARM) Solution

Process Document: Customs Brokers

Version: 2.1

Status: Final Version

## Document Revision History

Please see below for the revision history for the Customs Broker Process Document.

Version #	Date	Revised By	Nature of Revisions
1.0	June 28, 2019	Bethany MacLean / Marcel Schlueter / Chris Stein	Initial draft – Pre-work draft
1.1	September 16, 2019	Bethany MacLean / Marcel Schlueter / Chris Stein	Updated draft – Incorporating SME feedback post-working session
2.0	October 10, 2019	Bethany MacLean / Marcel Schlueter	Draft final version
2.1	January 31, 2020	Bethany MacLean / Marcel Schlueter	Final version

## Contents

1. Scope of Document .....	3
2. Process Accountability and Responsibility .....	3
3. Customs Broker Program Enrolment.....	3
Definition and Objectives of Process .....	3
Prerequisites / Triggers .....	3
Process Flow Model .....	4
Business Process Steps .....	4
Outputs .....	7
4. Update Customs Broker Program Profile .....	7
Definition and Objectives of Process .....	7
Prerequisites / Triggers .....	7
Process Flow Model .....	8
Business Process Steps .....	8
Outputs .....	9
5. Manage Program Compliance .....	9
Definition and Objectives of Process .....	9
Prerequisites / Triggers .....	10
Process Flow Model .....	11
Business Process Steps .....	11
Outputs .....	14
6. Record of Decision .....	14

# Process Document

## Customs Brokers

### 1. Scope of Document

This document provides an end-to-end overview of how CARM will support enrolment, updates to the program profile and compliance for the Customs Broker program.

More specifically, this document outlines the definition and objectives of each process, the prerequisites that must be in place and triggers that initiate each process, the process flow models and associated business process steps, and lastly, the outputs resulting from the execution of each process. The end of the document presents a Record of Decision related to Customs Brokers, which includes decisions made in conjunction with CBSA Subject Matter Experts (SMEs) during the working session and approved by Office of Primary Interest (OPI) executives, as required.

It is important to note that the content presented in the document is based on various activity profiles that were submitted as part of the CARM Business Model Design (BSD-D1), and have been approved. As such, the direction and overarching process for Customs Brokers has not changed; however, this document presents additional detail required for implementation.

### 2. Process Accountability and Responsibility

Office of Primary Interest – Accountable Division level	Business Process Owner – Responsible Unit level
Trade and Anti-dumping Programs, Regulatory Trade Programs	Licensing Unit

### 3. Customs Broker Program Enrolment

#### Definition and Objectives of Process

**Definition:**

The *Customs Broker Program Enrolment* process is defined as the actions a commercial client would take to enrol in the Customs Broker program with the CBSA.

**Objective(s):**

The objectives of the process are to:

- Provide clients with the ability to enrol in the Customs Broker program and obtain a Customs Broker licence through the CARM Client Portal (CCP)
- Allow the CBSA to collect and verify all relevant program-specific information provided by clients

#### Prerequisites / Triggers

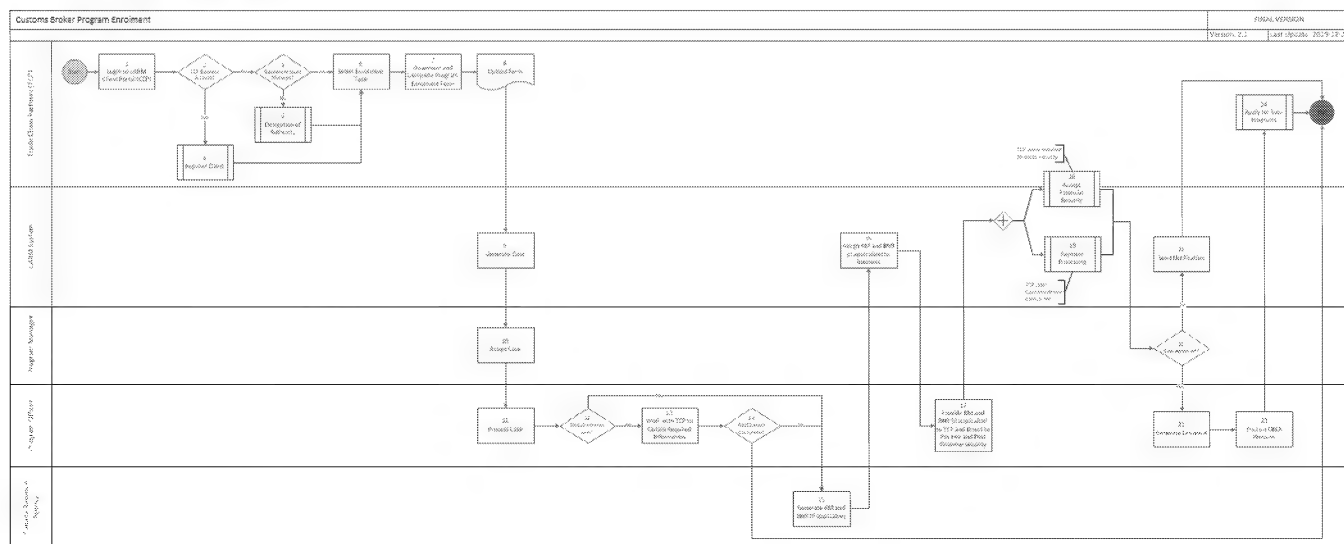
**Prerequisites:** Identify elements that need to be completed or in place for the business process to be initiated.

**Triggers:** Identify what inputs are required or what needs to be completed for this business process to start.

Prerequisites
1. GC Key account or Sign-In partner credentials

Triggers
1. TCP requests to enrol as a Customs Broker with the CBSA

## Process Flow Model



## Business Process Steps

**Note:** The roles included within this process are not meant to reflect current state job titles, but rather generic roles that align with the future state business process. For reference, examples of current state equivalents have been provided below. Further work is required to conduct role to job position mapping to determine the specific individuals who will perform such roles.

- **Program Officer:** Current state equivalents include Officers in the Commercial Registration Unit (CRU).
- **Program Manager:** Current state equivalents include Managers in the CRU.

Step	Description	Business Role
1. Login to CARM Client Portal (CCP)	The Trade Chain Partner (TCP) logs into the CCP using GCKey or Sign-In Partner.	Trade Chain Partner
2. CCP Business Account?	The TCP is asked if they have already created their business account on the CCP. If yes, proceed to step 3. If no, proceed to step 4.	Trade Chain Partner
3. Business Account Manager?	The TCP is asked if they are the business account manager. If yes, proceed to step 6. If no, proceed to step 5. <i>Note: the business account manager is the individual who manages the business account with the CBSA. The business account manager would have been determined upon creation of a business account on the CCP.</i>	Trade Chain Partner
4. Register Client	Sub-process: Register Client. This step encompasses the TCP completing the Register Client process to create a CCP business account. Please refer to the <i>Register Client (Release 2)</i> process document.	Trade Chain Partner

Step	Description	Business Role
5. Delegation of Authority	<p>Sub-process: Delegation of Authority. This step encompasses the TCP requesting delegation of authority from the business account manager to gain access to an existing business account on the CCP.</p> <p>Please refer to the <i>Register Client (Release 1)</i> process document.</p> <p><i>Note: the TCP must request the role of proxy business account manager to be authorized to enrol in CBSA programs on the CCP.</i></p>	Trade Chain Partner
6. Select enrolment type	The TCP selects the option to enrol in Customs Broker program.	Trade Chain Partner
7. Download and Complete Program Enrolment Form	<p>The TCP downloads and completes a Customs Broker Enrolment Adobe form. The form includes the following fields:</p> <ul style="list-style-type: none"> <li>Program name</li> <li>Physical, mailing and books and records addresses</li> <li>Books and records held at place of business?</li> <li>Social media address</li> <li>Public email address</li> <li>Contact information</li> <li>Qualified officer(s) questions / attestations <ul style="list-style-type: none"> <li>Name</li> <li>Name of completed Customs Broker examination</li> <li>Date of completion of Customs Broker examination</li> <li>At least 18 years of age? (Y/N)*</li> <li>Canadian citizen or permanent resident of Canada? (Y/N)*</li> <li>Convicted of a criminal offence? (Y/N)*</li> <li>In good financial standing? (Y/N)*</li> <li>Contact information</li> <li>Employment history</li> </ul> </li> <li>Partner(s) / Director(s) questions / attestations <ul style="list-style-type: none"> <li>Name</li> <li>At least 18 years of age? (Y/N)*</li> <li>Canadian citizen or permanent resident of Canada? (Y/N)*</li> <li>Convicted of a criminal offence? (Y/N)*</li> <li>In good financial standing? (Y/N)*</li> </ul> </li> <li>Certification</li> </ul> <p><i>*Note: CARM is unable to store personal information such as citizenship documentation, personal financial information or dates of birth. In the current state, this information is collected as part of the enrolment application. Under CARM, TCPs will attest to meeting these requirements; therefore, mitigating the need to collect and store this information.</i></p>	Trade Chain Partner
8. Upload Form	The TCP uploads and submits the enrolment form directly on the CCP.	Trade Chain Partner
9. Generate case	A case is generated and distributed to a Program Manager (or delegate) for assignment.	CARM System

Step	Description	Business Role
10. Assign Case	The Program Manager (or delegate) assigns the case to a Program Officer.	Program Manager
11. Process Case	The Program Officer manually enters the relevant enrolment data from the enrolment form into the case on CARM.	Program Officer
12. Requirements Met?	The Program Officer determines if all program requirements are met, including all regulatory requirements. If yes, proceed to step 15. If no, proceed to step 13.	Program Officer
13. Work with TCP to Obtain Required Information	If the Program Officer determines that the program requirements are not met, they will work with the TCP to obtain all required information (if applicable).	Program Officer
14. Application Complete?	The Program Officer determines if the application package is now complete. If yes, proceed to step 15. If no, the TCP is notified and the process ends.	Program Officer
15. Generate RM and BN9 (if applicable)	The Canada Revenue Agency (CRA) generates an RM and, if needed, a BN9 for the business. <i>Note: a BN9 will only be generated if the TCP is a new business who has not previously obtained a BN9 with the CRA.</i>	Canada Revenue Agency
16. Assign RM and BN9 (if applicable) to business	Once an RM and, if needed, a BN9 has been generated by the CRA, the CARM system retrieves the number and assigns it to the Customs Broker on the CCP. This number is then stored in the CARM system.	CARM System
17. Provide RM and BN9 (if applicable) to TCP and Direct to Pay Fee and Post Financial Security	The Program Officer provides the TCP with their RM and, if needed, their BN9, and directs them to pay the Customs Broker licence fee and post the required financial security.	Program Officer
18. Accept Financial Security	Sub-process: Accept Financial Security. Please refer to the Financial Security process document. This step encompasses the TCP posting the required financial security and the CBSA's acceptance. The required financial security is \$50,000.	Trade Chain Partner / CARM System
19. Payment Processing	Sub-process: Payment Processing. Please refer to the Payment Processing process document. This step encompasses the TCP paying the Customs Broker licence fee. The fee is \$600.	CARM System
20. Case Approved?	The Program Manager (or delegate) decides whether to approve the application. If yes, proceed to step 22. If no, proceed to step 21.	Program Manager
21. Send Notification	If the application is denied, the TCP is notified via the CCP. The notification includes the grounds for denial along with any applicable next steps. <i>Note: The solution will provide the ability to issue differentiated notifications depending on the outcome of the case (e.g. Accept, reject (including rationale)).</i> <i>Note: the financial security and Customs Broker licence fee would also be refunded.</i>	CARM System
22. Generate Licence #	If the application is approved, a Customs Broker licence number is manually generated by the Program Officer and keyed into the CARM system. The Program Officer assigns the Customs Broker licence number to the Customs Broker in master data. The number is then stored in CARM master data, and exposed to the TCP on the CCP.	Program Officer
23. Post on CBSA Website	Once TCP has successfully enrolled as a Customs Broker with the CBSA, the Program Officer posts the Customs Brokers' name, website and email address on the CBSA website.	Program Officer

Step	Description	Business Role
24. Apply for Sub-Programs	Sub-process: various sub-program enrolment processes. <i>Please refer to various program-specific process documents.</i>	TCP

## Outputs

**Outputs:** Identify the key outputs of the business process (reports, approval, order, etc.).

Outputs
<ol style="list-style-type: none"> <li>TCP is successfully enrolled as a Customs Broker with the CBSA</li> <li>TCP has received an RM, BN9 (if applicable) and licence number</li> <li>TCP is notified that their application for the Customs Broker program with the CBSA has been denied</li> <li>RTC score is generated for TCP</li> </ol>

## 4. Update Customs Broker Program Profile

### Definition and Objectives of Process

#### Definition:

The *Update Customs Broker Program Profile* process is defined as the actions a commercial client would take to update their Customs Broker program profile with the CBSA.

#### Objective(s):

The objectives of the process are to:

- Provide clients with the ability to update their Customs Broker profile directly on the CCP
- Provide clients with the ability to request an amendment, renewal, suspension or cancellation of their Customs Broker licence

### Prerequisites / Triggers

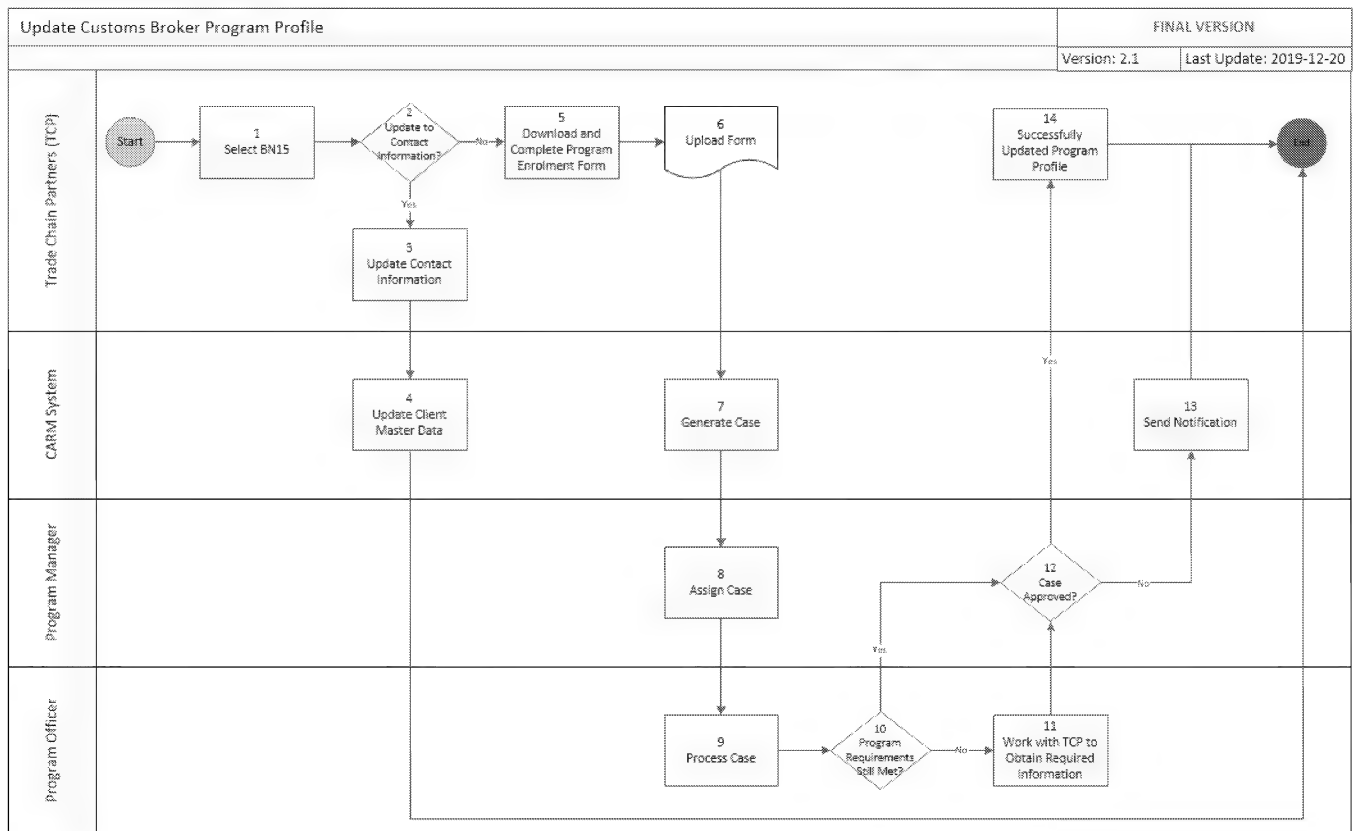
**Prerequisites:** Identify elements that need to be completed or in place for the business process to be initiated.

**Triggers:** Identify what inputs are required or what needs to be completed for this business process to start.

Prerequisites
<ol style="list-style-type: none"> <li>TCP has set up a CCP account and is enrolled in the Customs Broker program with the CBSA, or</li> <li>TCP has been delegated access on the CCP to act on behalf of a Customs Broker</li> <li>TCP has successfully signed onto the CCP</li> </ol>

Triggers
<ol style="list-style-type: none"> <li>TCP wants to update their Customs Broker program profile with the CBSA</li> </ol>

## Process Flow Model



## Business Process Steps

**Note:** The roles included within this process are not meant to reflect current state job titles, but rather generic roles that align with the future state business process. For reference, examples of current state equivalents have been provided below. Further work is required to conduct role to job position mapping to determine the specific individuals who will perform such roles.

- **Program Officer:** Current state equivalents include Officers in the Licencing Unit and the Commercial Registration Unit (CRU).
- **Program Manager:** Current state equivalents include Managers in the Licencing Unit and the CRU.

Step	Description	Business Role
1. Select BN15	The TCP selects the BN15 on the CCP that is associated with the Customs Broker program profile they wish to update. Once the BN15 is selected, program-specific contact information is displayed on the CCP.	Trade Chain Partner
2. Update to Contact Information?	The TCP is asked if they are updating contact information. If yes, proceed to step 3. If no, proceed to step 5. <i>Note: Only program-specific contact information will be updatable via the CARM Client Portal. All other updates will be submitted using the enrolment form. Checkboxes on the enrolment form will be used to note the information being updated.</i>	Trade Chain Partner
3. Update Contact Information	The TCP updates their contact information directly on the CCP and submits the change. This update does not require manual intervention by a Program Officer. The existing contact information is visible for the client to see when updating.	Trade Chain Partner

Step	Description	Business Role
4. Update Client Master Data	The CARM system updates the relevant client master data based on the updates made by the TCP and the process ends.	CARM System
5. Download and Complete Program Enrolment Form	The TCP downloads and completes a Customs Broker Enrolment Adobe form, indicating the information being updated. The TCP does not have to complete the information not being changed.	Trade Chain Partner
6. Upload Form	The TCP uploads and submits the enrolment form directly on the CCP.	Trade Chain Partner
7. Generate Case	A case is generated and distributed to a Program Manager (or delegate) for assignment.	CARM System
8. Assign Case	The Program Manager (or delegate) assigns the case to a Program Officer.	Program Manager
9. Process Case	The Program Officer manually enters the relevant enrolment data from the form into the case user interface on CARM.	Program Officer
10. Program Requirements Still Met?	The Program Officer determines if all program requirements are still met. If yes, proceed to step 12. If no, proceed to step 11.	Program Officer
11. Work With TCP to Obtain Required Information	If the Program Officer determines that the program requirements are no longer met, they will work with the TCP to obtain all required information before moving to step 12.	Program Officer
12. Case Approved?	The Program Manager (or delegate) decides whether to approve the update. If yes, proceed to step 14. If no, proceed to step 13.	Program Manager
13. Send Notification	If the update is denied or it is deemed that the TCP no longer meets the program requirements, the TCP is notified via the CCP. The notification includes the grounds for denial along with any applicable next steps. <i>Note: The solution will provide the ability to issue differentiated notifications depending on the outcome of the case (e.g. Accept, reject (including rationale)).</i>	CARM System
14. Successfully Updated Program Profile	Once the update is made, master data is updated in CARM and the TCP is notified via the CCP. The notification provides confirmation of the update made and provides the TCP with their amended or new licence (if applicable).	Trade Chain Partner

## Outputs

**Outputs:** Identify the key outputs of the business process (reports, approval, order, etc.).

Outputs
<ol style="list-style-type: none"> <li>TCP has successfully updated Customs Broker program profile</li> <li>TCP is notified that the update to their Customs Broker profile has been approved or denied</li> <li>TCP has obtained an amended or new licence (if applicable)</li> </ol>

## 5. Manage Program Compliance

### Definition and Objectives of Process

**Definition:**

The *Manage Program Compliance* process includes activities related to verifying compliance with the CBSA's administered legislation, regulation and program requirements specific to the Customs Broker program (e.g. carrying out the duties and responsibilities of a Customs Broker in a competent manner).

**Objective(s):**

The overall objective of the *Manage Program Compliance* process is to support continued compliance with the CBSA's administered legislation, regulation and program requirements.

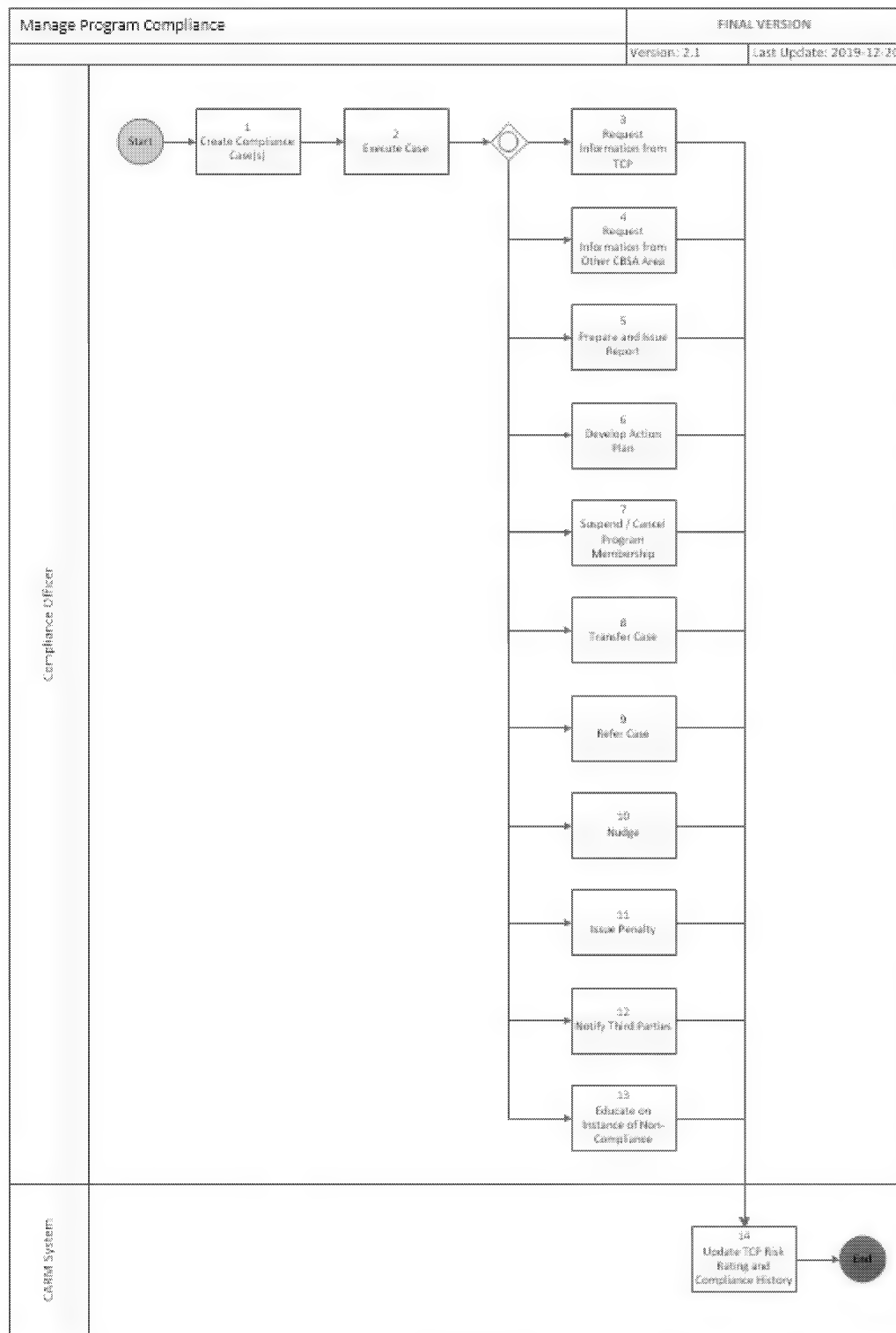
**Prerequisites / Triggers**

**Prerequisites:** Identify elements that need to be completed or in place for the business process to be initiated.

**Triggers:** Identify what inputs are required or what needs to be completed for this business process to start.

Prerequisites
<ul style="list-style-type: none"> <li>TCP is enrolled in the Customs Broker program</li> </ul>
Triggers
<ol style="list-style-type: none"> <li>A proactive compliance activity (e.g. program monitoring, random selection) needs to be completed</li> <li>Suspected non-compliance with the CBSA's administered legislation, regulation and program requirements specific to the Customs Broker program</li> </ol>

## Process Flow Model



### Business Process Steps

**Note:** The roles included within this process are not meant to reflect current state job titles, but rather generic roles that align with the future state business process. For reference, examples of current state equivalents have been provided below. Further work is required to conduct role to job position mapping to determine the specific individuals who will perform such roles.

- **Compliance Officer:** Current state equivalents include Officers within the Licensing Unit and the Commercial Registration Unit (CRU).

Step	Description	Business Role
<b>1. Create Compliance Case(s)</b>	The Compliance Officer creates a compliance case when a proactive compliance activity (e.g. program monitoring, random selection) needs to be completed or suspected non-compliance with the CBSA's administered legislation, regulation and/or program requirements specific to the Customs Broker program is identified or brought to the Compliance Officer's attention. The case will be assigned to (retained by) the Compliance Officer who created it; however, the Compliance Manager will have the ability to shift case loads accordingly. Standard priorities of High, Medium and Low will be assigned by the Compliance Officer who creates the compliance case.	Compliance Officer
<b>2. Execute Case</b>	<p>The Compliance Officer analyzes available information to determine whether the TCP is compliant, and if the TCP is non-compliant, the degree of non-compliance. During case execution, the Compliance Officer must ensure findings are fully supported by technical research, review and analysis of applicable legislation/regulation.</p> <p>The Compliance Officer then determines the appropriate action(s) to be taken based on the significance of the issues identified. All actions require Manager approval prior to execution. Possible actions include:</p> <ul style="list-style-type: none"> <li>• Request Information from TCP</li> <li>• Request Information from Other CBSA Area</li> <li>• Prepare and Issue Report</li> <li>• Develop Action Plan</li> <li>• Suspend / Cancel Program Membership</li> <li>• Transfer Case</li> <li>• Refer Case</li> <li>• Nudge</li> <li>• Issue Penalty</li> <li>• Notify Third Parties</li> <li>• Educate on Instance of Non-Compliance</li> </ul>	Compliance Officer
<b>3. Request Information from TCP</b>	If additional information is required from the TCP, the Compliance Officer sends a notification to the TCP detailing the request for information. The TCP receives the request and provides the applicable information/documentation via the CARM Client Portal.	Compliance Officer
<b>4. Request Information from Other CBSA Area</b>	If the Compliance Officer requires additional information from another CBSA area, the Compliance Officer sends a request for information via the CARM User Portal using the functional guidance case or email for those stakeholders without access to CARM. The various areas can provide a response, as required.	Compliance Officer
<b>5. Prepare and Issue Report</b>	The Compliance Officer prepares a report (executed outside the CARM System) to present the TCP with their findings. The report includes information on the instance(s) of non-compliance, the supporting research and documentation, and the information necessary for the client to become compliant. The Compliance Officer issues the report via the CARM User Portal.	Compliance Officer
<b>6. Develop Action Plan</b>	The Compliance Officer develops an action plan for the TCP (executed outside the CARM System). An action plan constitutes a mutual agreement between the TCP and the CBSA. Action plans are administered to resolve specific incidents of non-compliance, and do not necessarily result in an automatic suspension or cancellation of a licence. Action plans are created to formally	Compliance Officer

Step	Description	Business Role
	<p>document identified compliance issue(s), provide a means by which to resolve the issue(s), as well as provide support until such situations are corrected. Action plans also document the timeframe for completion.</p> <p>Should the TCP feel they require additional time to address or correct the issue(s), they may make a written request for an extension of time. An extension to the action plan timeframe may be granted at the discretion of the CBSA; extension requests will be reviewed by the CBSA on a case-by-case basis. Extension should not exceed six months.</p> <p>Should a TCP feel that an action plan is not warranted, the TCPs should contact the CBSA (typically the Manager identified in the case). An action plan cannot be appealed, as it is an interim measure to aid a client with compliance issues. If a client does not follow through with the required corrective actions, their licence may be suspended or cancelled.</p>	
<b>7. Suspend / Cancel Program Membership</b>	Depending on the severity of the non-compliance, there may be a need to suspend or cancel a Customs Broker's licence. Reasons and timelines for suspending or cancelling a Customs Brokers licence are documented in D1-8-1 Licensing of Customs Brokers. The Compliance Officer sends the case to the Program Officer for validation and execution.	Compliance Officer
<b>8. Transfer Case</b>	If the Compliance Officer decides to transfer the case to another officer, the CARM system sends the case to the Compliance Manager for distribution/assignment. The case is transferred via the CARM User Portal.	Compliance Officer
<b>9. Refer Case</b>	If the Compliance Officer decides to refer the case, the CARM system sends the referral to the appropriate stakeholder. If the stakeholder manages cases within the CARM system (e.g. Trade Compliance), the referral is added to that stakeholder's queue. Stakeholders who do not manage cases within the CARM system (e.g. Criminal Investigations) will be notified of a referral by email (executed outside the CARM System). If the stakeholder has access to the CARM system, they may access the case and relevant details, as required.	Compliance Officer
<b>10. Nudge</b>	The Compliance Officer sends a mass notification through the CARM User Portal to all or a subset of TCPs. The mass notification is a one-way communication channel that allows the user to send free text, and is not associated to the case because of its broad applicability.	Compliance Officer
<b>11. Issue Penalty</b>	The Compliance Officer issues a penalty to the TCP. Penalties can be issued for multiple reasons as prescribed in the Master Penalty Document. The Manage AMPs process is executed. See the Manage AMPs Process Document for more information.	Compliance Officer
<b>12. Notify Third Parties</b>	There may be a need to notify third parties of compliance activities. As such, the Compliance Officer will provide notification (not executed within the CARM system).	Compliance Officer
<b>13. Educate on Instance of Non-compliance</b>	There may be a need to informally educate on the instance of non-compliance to help prevent future non-compliance. In this circumstance, the Compliance Officer communicates with the TCP but does not serve any formal documentation.	Compliance Officer
<b>14. Update TCP Risk Rating and Compliance History</b>	The outcome(s) of the case are used to update the TCP's risk rating and compliance history, as applicable.	CARM System

## Outputs

**Outputs:** Identify the key outputs of the business process (reports, approval, order, etc.).

Outputs
<ol style="list-style-type: none"> <li>1. Request Information from TCP</li> <li>2. Request Information from Other CBSA Area</li> <li>3. Prepare and Issue Report</li> <li>4. Develop Action Plan</li> <li>5. Suspend / Cancel Program Membership</li> <li>6. Transfer Case</li> <li>7. Refer Case</li> <li>8. Nudge</li> <li>9. Issue Penalty</li> <li>10. Notify Third Parties</li> <li>11. Educate on Instance of Non-Compliance</li> <li>12. Update to TCP risk rating and compliance history</li> <li>13. Continuous compliance monitoring</li> <li>14. At-border interventions</li> </ol>

## 6. Record of Decision

The following Record of Decision table outlines the key discussion items and decisions made during and in follow-up to the Customs Brokers working session on July 10, 2019.

Discussion Items	Decisions Made
<ol style="list-style-type: none"> <li>1. Validate data elements for the following: <ul style="list-style-type: none"> <li>• Customs Broker program enrolment</li> <li>• Updating Customs Broker profile</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. The data elements within the Customs Broker program enrolment and updating Customs Broker profile were validating during the working session. A web form solution was discussed and prototyped during the working session; however, due to the volume of new applicants and updates, the current CARM Project direction is to implement a fillable, saveable Adobe forms solution with key fields mapped to master data within CARM. It is understood this is a departure from what was previously discussed; however, the CARM funding envelope is limited and as such concessions must be made.</li> </ol> <p>It was determined that the following additional fields are required for the Customs Broker program enrolment process:</p> <ul style="list-style-type: none"> <li>• Program name</li> <li>• Physical, mailing and books and records addresses</li> <li>• Books and records held at place of business?</li> <li>• Social media address</li> <li>• Public email address</li> <li>• Contact information</li> <li>• Qualified officer(s) questions / attestations <ul style="list-style-type: none"> <li>○ Name</li> <li>○ Name of completed Customs Broker examination</li> <li>○ Date of completion of Customs Broker examination</li> <li>○ At least 18 years of age? (Y/N)*</li> </ul> </li> </ul>

Discussion Items	Decisions Made
	<ul style="list-style-type: none"> <li>○ Canadian citizen of permanent resident of Canada? (Y/N)*</li> <li>○ Convicted of a criminal offence? (Y/N)*</li> <li>○ In good financial standing? (Y/N)*</li> <li>○ Contact information</li> <li>○ Employment history</li> <li>• Partner(s) / Director(s) questions / attestations <ul style="list-style-type: none"> <li>○ Name</li> <li>○ At least 18 years of age? (Y/N)*</li> <li>○ Canadian citizen of permanent resident of Canada? (Y/N)*</li> <li>○ Convicted of a criminal offence? (Y/N)*</li> <li>○ In good financial standing? (Y/N)*</li> </ul> </li> <li>• Certification</li> </ul> <p>Program specific contact information will be updatable via the CARM Client Portal. All other updates will be submitted using the enrolment form</p> <p>Checkboxes on the enrolment form will be used to note the information being updated. Note that this solution applies to all enrolment types utilizing the Adobe forms solution, not just Customs Brokers.</p> <p><i>*Note: CARM is unable to store personal information such as citizenship documentations, personal financial information, or dates of birth. In the current state, this information is collected as part of the enrolment application, under CARM, TCPs will attest to meeting these requirements; therefore, mitigating the need to collect and store the information.</i></p>
<p>2. Confirm following enrolment processes:</p> <ul style="list-style-type: none"> <li>• Customs Broker Program Enrolment</li> <li>• Update Customs Broker Program Profile</li> </ul>	<p>2. The following enrolment processes were reviewed and confirmed during the working session:</p> <ul style="list-style-type: none"> <li>• Customs Broker Program Enrolment</li> <li>• Update Customs Broker Program Profile</li> </ul> <p>The following decisions were made relating to the Customs Broker program enrolment process:</p> <ul style="list-style-type: none"> <li>• Customs Broker licensing will be done nationally <ul style="list-style-type: none"> <li>○ <i>Note: It is understood the shift towards national licensing will require Program Authority changes.</i></li> </ul> </li> <li>• A new program requirement will be introduced that requires the posting of the Customs Broker's name, website and email address on the CBSA website.</li> </ul>
<p>3. Identify any sub-types for the single case type for 'Customs Broker Program Compliance'.</p>	<p>3. Confirmed that sub-types for Customs Broker Program Compliance are not required.</p>
<p>4. Validate the area(s) of the business responsible for the <i>Manage Program Compliance</i> process roles for the Customs Broker program.</p>	<p>4. The <i>Manage Program Compliance</i> process will be executed by the Compliance Officer role. With the development of the Culpability Framework and broader Functional Management Model changes, the CBSA will need to determine the specific group responsible for managing and executing program compliance related to Customs Brokers. This has</p>

Discussion Items	Decisions Made
	<p>been logged as a business readiness activity and will be considered as an input to BSD-D9.</p>
<p>5. Validate the applicability of the steps within the <i>Manage Program Compliance</i> process for Customs Brokers designed under BSD-D1.</p>	<p>5. The steps within the <i>Manage Program Compliance</i> process for Customs Brokers were validated during the working session. The case used in this process will be generic and flexible, as future compliance activities under the Culpability Framework are still being developed. Further enhancements to this case type can be considered for post Release 2 enhancements.</p> <p>Supporting decisions:</p> <ul style="list-style-type: none"> <li>For compliance cases, the case will be assigned to (retained by) the Compliance Officer who created it. In this scenario, the Compliance Manager will still have the ability to shift case loads accordingly.</li> <li>Standard priorities of High, Medium and Low will be assigned by the Compliance Officer who creates the compliance case.</li> <li>TCPs will not be notified of a pending compliance action. TCPs will only be notified when non-compliance is found (i.e. the case is resultant). Therefore, the only status exposed to the TCP is 'Closed – Resultant'.</li> <li>No time standards / service standards are required for this process.</li> <li>All compliance activities highlighted in the pre-work document are applicable to Customs Brokers.</li> <li>Standard case functionality highlighted in the pre-work document is sufficient; participants did not identify any additional fields for consideration.</li> <li>'Substantiated Compliant' should be considered an output of the compliance case; the number of cases closed with 'Substantiated Compliant' against a Customs Broker can be used for reporting and RTC purposes.</li> </ul>
<p>6. Identify the area(s) of the business responsible for the <i>Manage Appeals</i> process roles for the Customs Broker program.</p>	<p>6. No longer applicable based on the below decision.</p>
<p>7. Validate the applicability of the steps within the <i>Manage Appeals</i> process for Customs Brokers designed under BSD-D1.</p>	<p>7. Today, if applicants or Customs Brokers want to appeal, they have to go to judicial review. Since there is no formal appeals mechanism within the CBSA, and volumes do not substantiate a business case to build this function within the CARM system for Customs Brokers, this process has been removed from the process document. If a formal mechanism is put into place, this functionality can be considered for post Release 2 enhancements.</p>

Process document:

Broker applicants need to be able to identify which type of broker licence they are applying for - sole proprietor, partnership, partnership of corporation, or corporation. If this is as the legal entity level, will it be easy for an officer working the file to determine their unique licensing requirements.

If a corporation or a partnership of corporations, we would like the applicant to indicate that they are incorporated in Canada

Editorial comment – please use the Canadian spelling of the noun “licence” with a “c” to be consistent with the regulations and legislation.

<b>1. Complete program enrolment web-form</b>	<p>The TCP is presented with a web-form for Customs Broker program enrolment. The form includes the following fields:</p> <ul style="list-style-type: none"> <li>• Over 18?</li> <li>• Convicted of a criminal offence?</li> <li>• Declared bankruptcy?</li> <li>• Qualified Officer</li> <li>• Certification</li> </ul> <p><i>Note: all other information required to obtain a Customs Broker license with the CBSA will be collected at the legal entity registration stage. For simplicity, the first three fields will be a checkbox and will only require an explanation field if the answer is no. I thought that we still have the common program data elements as well – Program account name, contact information specific to the CB licensing. The Licensing Unit agrees that the common program data elements are necessary.</i></p> <p><b>Pre-work question:</b> validate the fields required for Customs Broker program enrolment.</p>	TCP
<b>2. Case approved?</b>	<p>The Case Manager decides whether to approve the case or not. If yes, proceed to step 15. If no, the process ends. The case cannot just end. There needs to be a notification to the applicant to advise them that we are not approving the license. Also, would the security and fee posted need to be returned? The licence fee will be refunded if an application is not approved; however fees will not be refunded when a customs broker ceases operations prior to the end of the licensing period.</p>	Commercial & Trade Program Registration and Enrolment Unit

I did not see anything in the process document that would identify that we are going to post their company name as a licensed CB on the CBSA web site. Did we not discuss this?

Discussion Items	Decisions Made
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<p>1. Validate data elements for the following:</p> <ul style="list-style-type: none"> <li>• Customs Broker program enrolment</li> <li>• Updating Customs Broker profile</li> <li>• EDI enrolment (without Service Provider)</li> </ul>	<p>1. The data elements within the Customs Broker program enrolment and updating Customs Broker profile were validating during the working session.</p> <p>It was determined that the following additional fields are required for the Customs Broker program enrolment process:</p> <ul style="list-style-type: none"> <li>• Physical, mailing and books and records addresses</li> <li>• Books and records held at place of business</li> <li>• Contact information</li> <li>• Partner/Director questions <ul style="list-style-type: none"> <li>○ Over 18</li> <li>○ Canadian Citizen or permanent resident</li> <li>○ Criminal record</li> <li>○ Financial standing attestation</li> </ul> </li> </ul> <p>It was determined that the following additional fields are required for the updating Customs Broker profile process:</p> <ul style="list-style-type: none"> <li>• Qualified officer</li> <li>• Partners/Directors</li> </ul> <p>EDI enrolment was not covered during the Customs Broker working session and was instead validated during the Third Party – EDI Service Providers working session on July 18, 2019.</p>
<p>2. Confirm following enrolment processes:</p> <ul style="list-style-type: none"> <li>• Customs Broker Program Enrolment</li> <li>• Update Customs Broker Program Profile</li> <li>• EDI Enrolment (with Service Provider)</li> <li>• EDI Enrolment (without Service Provider)</li> </ul>	<p>2. The following enrolment processes were reviewed and confirmed during the working session:</p> <ul style="list-style-type: none"> <li>• Customs Broker Program Enrolment</li> <li>• Update Customs Broker Program Profile</li> </ul> <p>The following decisions were made relating to the Customs Broker program enrolment process:</p> <ul style="list-style-type: none"> <li>• Customs Broker licensing will be done nationally (changes to program authorities required)</li> <li>• A new program requirement will be introduced that requires the posting of the Customs Broker's name, website and email address on the CBSA website.</li> </ul>

	<p>Page 6 (on the enrollment mock-up)  <del>You must have at least one qualified officer, and can have up to two.</del></p> <p>Each broker must appoint a qualified officer.</p> <p>Please add a box to indicate for them to upload employment history.</p> <p>Page 7:</p> <p>Provide information about the <del>owners (partners and directors)</del> of the legal entity.</p> <p>Provide information about the owners, partners and directors of the legal entity.</p> <p>As mentioned in decision 1, EDI enrolment was not covered during the Customs Broker working session and was instead validated during the Third Party – EDI Service Providers working session on July 18, 2019.</p>
3. Identify any sub-types for the single case type for 'Customs Broker Program Compliance'.	3. Confirmed that sub-types for Customs Broker Program Compliance are not required.
4. Validate the area(s) of the business responsible for the <i>Manage Compliance</i> process roles for the Customs Broker program. Business owner: Licensing Unit Executor: Commercial Registration Unit	<p>4. <u>The <i>Manage Compliance</i> process is primarily executed by the Commercial Licensing Registration Unit.</u></p> <p>I don't recall us stating this. Usually there is a different unit involved in compliance than the unit that grants a privilege, to ensure that segregation of duties. Today, the suspension, and revocation of Broker Licences is done by Commercial Registration as they are the delegated authority for issuing, renewing, reinstating, suspending and cancelling broker licences. If applicants or brokers want to appeal a process today, they have to go to judicial review.</p> <p>With the development of the Culpability Framework, the CBSA will be taking a look at the compliance history of a broker before renewing their licence so there will be a bigger compliance piece for brokers in future.</p> <p>Complaints would be handed by the Licensing Unit.</p>

**Commented [MJ1]:** This is something that is being looked at under the Functional Management Model changes, and requires further thought and exploration.

<p>5. Validate the applicability of the steps within the <i>Manage Compliance</i> process for Customs Brokers designed under BSD-D1.</p>	<p>5. The steps within the <i>Manage Compliance</i> process for Customs Brokers were validated during the working session.</p> <p>Comment: We did not identify what the CBSA will be verifying in terms of CB licensing. Therefore the CB licensing case would not be supported with specific reports – correct? There will be specific reports required. The Licensing Unit is still working on the culpability framework for brokers so this needs to remain open.</p> <p>Supporting decisions:</p> <ul style="list-style-type: none"> <li>• For compliances cases, the case will be assigned to (retained by) the Compliance Officer who created it. In this scenario, the Compliance Manager will still have the ability to shift case loads accordingly.</li> <li>• Standard priorities of High, Medium and Low will be assigned by the Compliance Officer who creates the compliance case.</li> <li>• TCPs will not be notified of a pending compliance action. TCPs will only be notified when non-compliance is found (i.e. the case is resultant). Therefore, the only status exposed to the TCP is 'Closed – Resultant'.</li> <li>• No time standards / service standards are required for this process.</li> <li>• All compliance activities highlighted in the pre-work document are applicable to Customs Brokers.</li> <li>• Standard case functionality highlighted in the pre-work document is sufficient; participants did not identify any additional fields for consideration.</li> </ul>
<p>6. Identify the area(s) of the business responsible for the <i>Manage Appeals</i> process roles for the Customs Broker program.</p>	<p>6. <b>Next Step:</b> The <del>Commercial and Trade</del> Licensing Unit to work with Recourse to determine the area(s) of the business responsible for the <i>Manage Appeals</i> process as it relates to Customs Brokers. (Still to be actioned)</p> <p><b>Due Date:</b> <del>August 2, 2019</del> August 30, 2019</p>

7. Validate the applicability of the steps within the <i>Manage Appeals</i> process for Customs Brokers designed under BSD-D1.	7. The <i>Manage Appeals</i> process was not covered in detail during the working session. The process will be validated with the area(s) of the business responsible for the Manage Appeals process once determined (dependent on decision above).
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As a reminder, please find below the business readiness activities that were captured by participants during the session and are not already captured in the RoD table above. Your business area should begin to think about these activities to effectively own, plan and execute on them in preparation for the CARM releases.

- Determine whether the amount for Customs Broker security should remain at \$50,000 (Still TBD. This would be a Regulatory change) or if it is even needed at all given that we are going to importer RPP security? Yes, there will still be a need to secure broker's debts. If we do have security, would it be to cover off any potential penalties and special service fees? Yes, and any loss caused by the broker.  
If we are to have CB security should we assume that it should be a parameter that can easily be changed? Yes
- Determine whether Customs Brokers will continue to be required to post their licence at their office and if the licence number should follow the same format or adopt the BN9 and RM number as the unique identifier
- Develop an adjacent process to confirm identities of qualified officers and which exam they passed as personal information will not being stored in CARMok
- Update/remove CB licensing form(s)?
- Add the requirement to change the CB regs to move to National licensing; including engagement with TCPs. There are several other Regulatory changes that would be necessary for CARM including where licence applications can be made, where notices of applications are to be displayed to invite written comments from the public etc.

In addition to the business readiness activities, an action item was captured by participants during the session. This action item is as follows:

- Program area to provide attestation for CBSA to do a site inspection (Due Date: August 2, 2019) / *did not see this documented in the process.*

#### Attestation:

- Declaration by the qualified officer:
- I hereby attest that I will maintain an office in Canada for the customs brokerage business. In addition, the office, where business will be transacted as a customs broker, will prominently display the licence or a copy thereof. Further, I will maintain files, books and records as required

under section 17 of the *Customs Brokers Licensing Regulations*. Where the customs broker is a partnership or a corporation, the office where business will be transacted will prominently display a sign bearing the name under which the partnership or corporation is authorized to transact business as a customs broker as required under section 14 of the *Customs Brokers Licensing Regulations*. I further declare that, to the best of my knowledge, the information given in this application is true. I make this declaration knowing it is of the same importance as if made under oath and by virtue of *The Canada Evidence Act* and that the provision of false information on this application could prevent the licence from being granted. I agree to advise CBSA of any change in ownership, partners, directors or qualified officers as well as change to the name, address and any other things affecting the licence if granted. I hereby authorize the CBSA to consult with bankers or other financial institutions regarding the financial situation of the applicant, and I undertake to provide the Agency with a copy of a business opening statement or of the most recent audited profit and loss financial statement and balance sheet when deemed necessary by the CBSA to support this application for a customs broker licence. I will fulfil all the duties and obligations of a custom's broker in accordance with the *Customs Act* and the Regulations established by it. I hereby authorized the release, by the custodian thereof, of any information required by the CBSA that is necessary in the determination of my suitability to become a licensed customs broker.

- Signature of qualified officer (Or this could be by checking this box we are agreeing that.....)
- Date

# Data Conversion Kickoff Meeting – Release 2 – CRU Broker Licensing Spreadsheet

March 17, 2020

**CARM** | CBSA Assessment and  
Revenue Management

# Agenda

Background

R2 Data Conversion Scope – CRU Broker Licensing Spreadsheet

R2 Data Conversion – Process Overview, Roles & Responsibilities

R2 Project Timelines

Data Cleansing

Unstructured Data Conversion – Timelines, Roles & Responsibilities

Unstructured Data Conversion – Extraction of Content Inventory

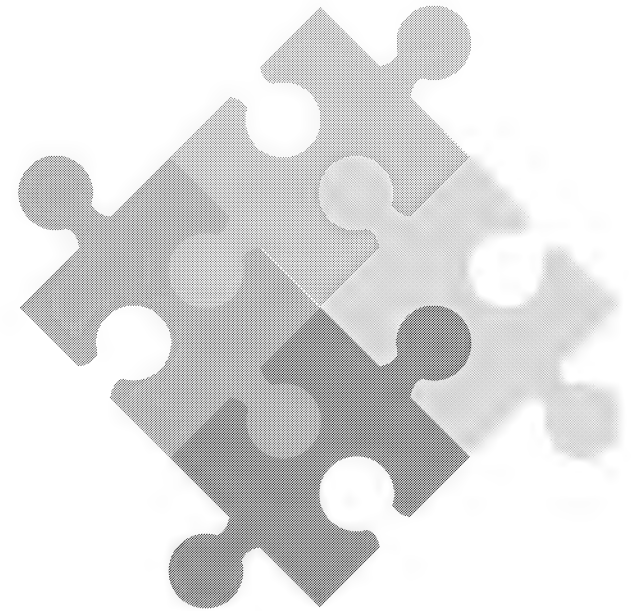
R2 Functional Specification Links in Apollo

R2 CARM Consulting Data Conversion Team Contacts



## Background

- The Canada Border Services Agency (CBSA) has undertaken the Canada Border Services Agency (CBSA) Assessment and Revenue Management (CARM) Project to modernize and transform the Agency's commercial revenue management systems
- The CARM Capabilities will be implemented through three releases (0, 1 and 2) over the course of the project. CARM data conversion will be done in releases 1 and 2.
- CARM Release Strategy (RD-D1) describes the release strategy and plan, with expected functionality for each release and critical milestones
- Data Conversion will enable CARM to consolidate its IT landscape and processes, and support the modernization of the Commercial line of business



## R2 Data Conversion Scope – Source Legacy System

CBSA System

Data Objects

CRU Broker Licensing Spreadsheet

( M ) Broker Licensing Program Enrollment - Master Data migration (Conversion Spec C140)

( U ) Broker Licensing Program Enrollment - Attachment migration (Conversion Spec C205)

(M) Master Data    (U) Unstructured Data

# Data Cleansing Tasks - Examples

## Data Cleansing Tasks - Examples

Below are subset of data and number of issues that have been identified and corrections shown on the right side.

Row ID	Subheading Row ID	Tariff Item Number	Status	Created On	Tariff Item Name
11029	9008	0	4	Sep 22 1997 12:40:29:783AM	09011900
11030	9009	0	4	Sep 22 1997 12:51:21:950AM	09011900
11021	9010	0	5	Sep 22 1997 12:52:52:010AM	09021000
11032	9011	0	4	Sep 22 1997 12:52:54:483AM	09029000
11023	9012	0	4	Sep 22 1997 12:52:56:866AM	09031000
11034	99013	0	4	Sep 22 1997 12:52:59:260AM	09039100
11025	9014	0	4		09039200
11036	9015	0	6	Sep 22 1997 12:53:04:136AM	09041000
11027	9016		4	Sep 22 1997 12:53:06:560AM	09042000
11038	9017	90	4	Sep 22 1997 12:53:09:566AM	09051110
11121	901	10	4	Sep 22 1997 12:54:25:373AM	09051190



11029	9008	0	4	Sep 22 1997 12:40:29:783AM	09011900
11030	9009	0	4	Sep 22 1997 12:51:21:950AM	09011900

Remove duplicate values to ensure uniqueness

Row 11030 should have Tariff Item Name '09012000' and not '09011900'

11021	9010	0	5	Sep 22 1997 12:52:52:010AM	09021000
11036	9015	0	6	Sep 22 1997 12:53:04:136AM	09041000

Correct erroneous code values to make sure they are correct, consistent, and timely

Row 11021 should have Status value '4' and row 11036 should have value '4', instead of 5 and 6, respectively

11034	99013	0	4	Sep 22 1997 12:52:59:260AM	09039100
11121	901	10	4	Sep 22 1997 12:54:25:373AM	09051190

Correct the format of the values to match existing standards

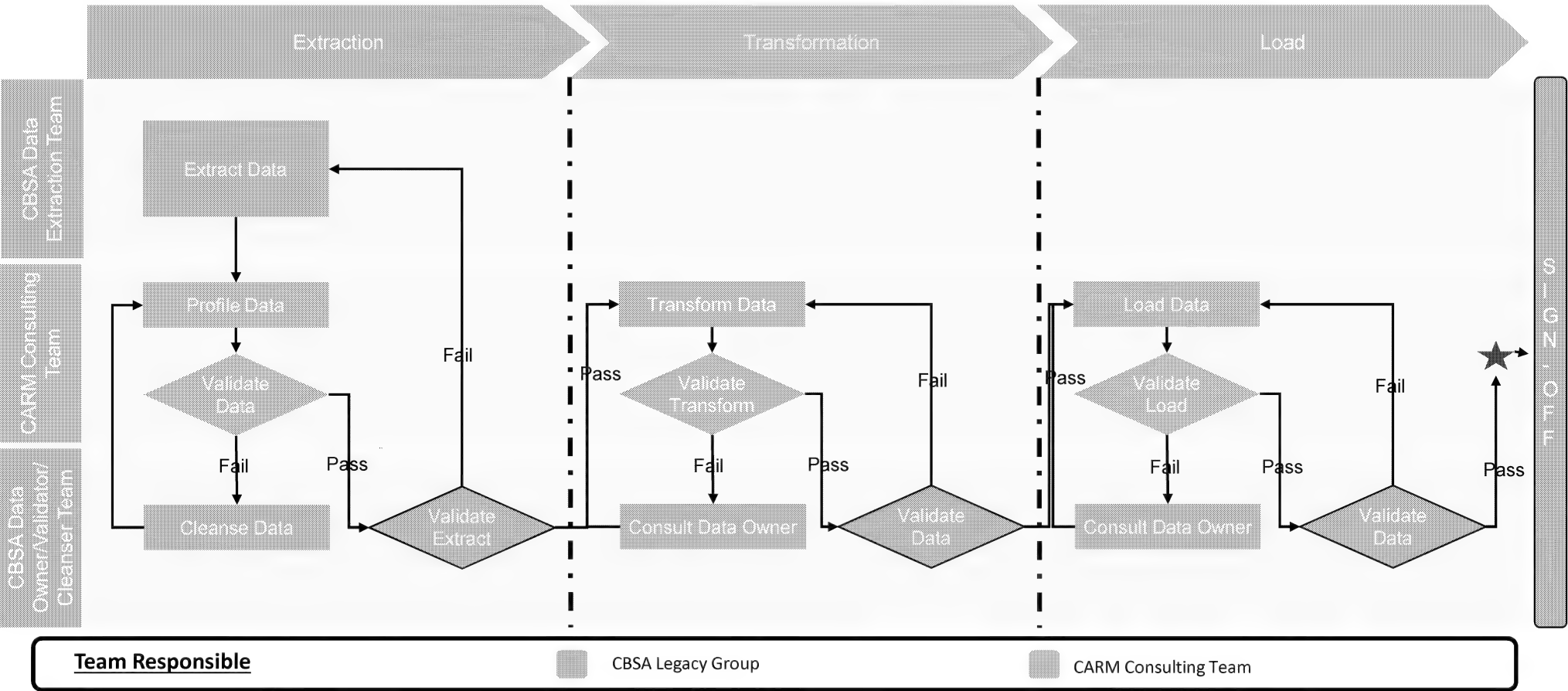
Row 11034 should have Subheading Row ID '9013' (4 digits not 5) and Row 11121 should have value '9017' (4 digits not 3)

11025	9014	0	4		09039200
11027	9016		4	Sep 22 1997 12:53:06:560AM	09042000

Check for empty cells and complete them

Row 11025 'Create On' date is missing – should be value between prior and subsequent row, Row 11027 'Tariff Item Number' value is missing (Should be '0')

# R2 Data Conversion Role and Responsibilities



## R2 Data Conversion Roles and Responsibilities

Activity	CARM Consulting Data Conversion Team	CBSA Data Owner/Validator/ Cleanser Team	CBSA Data Extraction Team
Extraction of Data	C	I	R, A
Profiling,	R, A	C	I
Cleansing, Validation, Reconciliation of Extracted Data	C	R, A	I
Transform	R, A	C	I
Run SAP Load Programs (automatic or manual)	R, A	I	I
Post Transform Validation and Reconciliation	C	R, A	C
Post Load Validation and Reconciliation	C	R, A	C
Signoff	C	R, A	I

### Data Conversion Activity Table:

**R – Responsible** Those **who do the work** to achieve the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required.

**A – Accountable** The **one ultimately answerable** for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible.

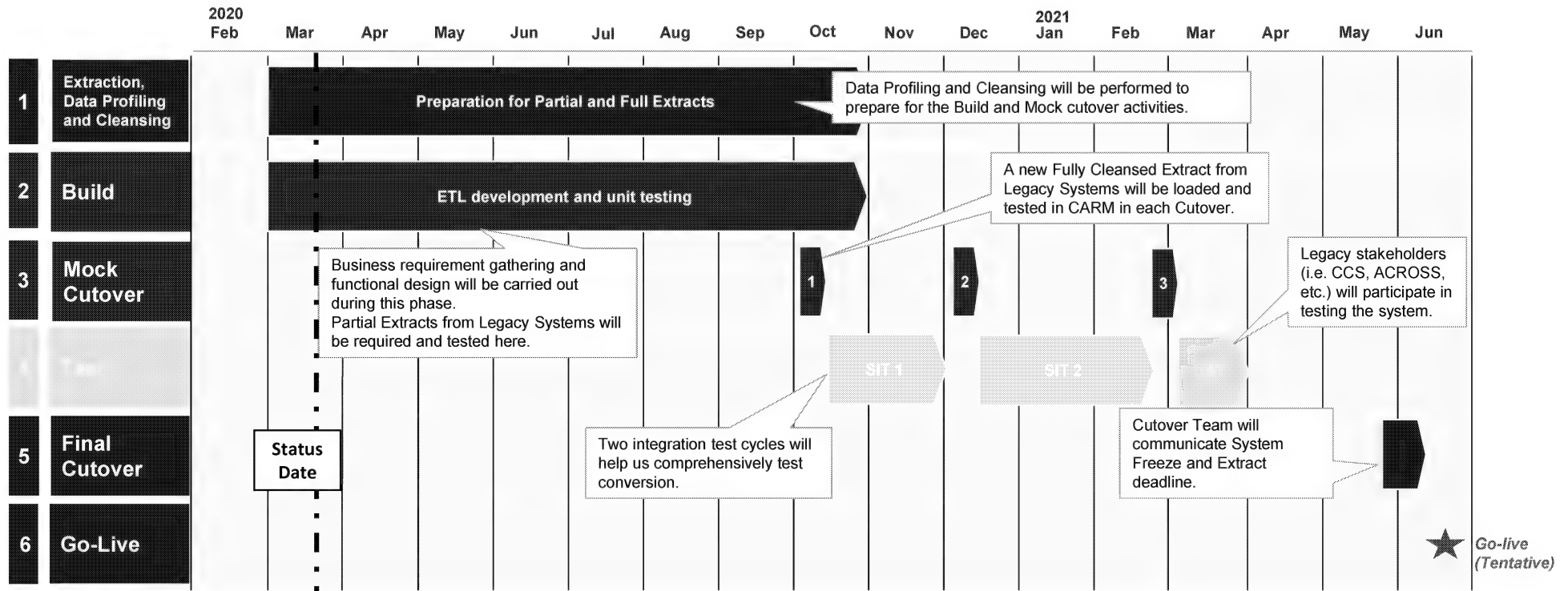
**C – Consulted** Those whose **opinions are sought**, typically Subject Matter Experts; and with whom there is two-way communication.

**I – Informed** Those who are **kept up-to-date on progress**, often only on completion of the task or deliverable; and with whom there is just one-way communication.

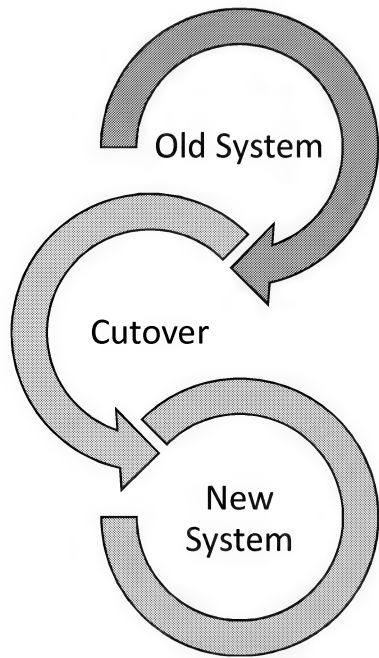
# R2 Data Conversion - Timelines

Activities	March	April	May	June	July	August	September	October	November
C140 [M] Broker Licensing Program Enrollment - Master Data migration		EXTRACT	PROFILE	CLEANSE	TRANSFORM	LOAD			
C205 [U] Broker Licensing Program Enrollment - Attachment migration			EXTRACT	PROFILE	CLEANSE	TRANSFORM	LOAD		

## R2 Project Timelines (to be confirmed)



# R2 Conversion Cycle



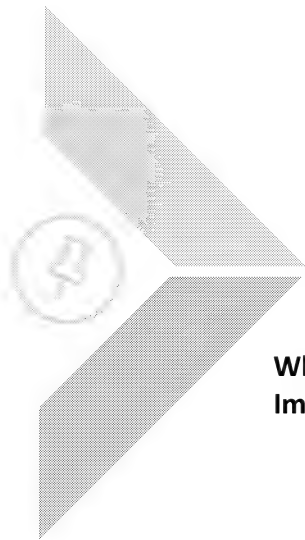
## Data Conversion Cycle:

**Mock Cutovers** As shown in the timeline slide three mock cutovers will be carried out over the course of R1 before the final cutover

## **Extract Expectations**

1. Cleansing carried out in the given extract must be noted and the extract for next mock cycle must incorporate those cleansing. For example data extracted for Mock Cutover 01 must incorporate the cleansing carried out in build phase and similarly the data extract for Mock Cutover 02 must incorporate the cleansing carried out in build phase and Mock Cutover 01
2. Cleansing in the subsequent cycles, the expectation is by the time we hit mock cutover 03, the learning over the past cutovers should result no or very few cleansing

# Data Cleansing



**1**

**Why is Data Cleansing Important?**



**2**

**Data Cleansing Examples**

- Refer to the next slides for more details

# Why is Data Cleansing Important?

## Data Cleansing includes:

**Merging** duplicated CBSA data, e.g., multiple broker master data, which will need to be consolidated to a single broker

**Eliminating** unnecessary CBSA data records

**Identifying and correcting** inaccurate CBSA data, including incomplete data

**Reformatting and standardizing** CBSA data so that it can be converted

## Why is Data Cleansing Important?

- CBSA data has been residing in legacy systems and that **data is required to work in CARM**, once data is moved using data conversion process.
- After using the legacy systems for many years, there is often duplicate or incorrect data, therefore, **data needs to be profiled, to understand issues on the data, and cleansed, before it is loaded into CARM.**
- Data conversion is not just about moving data but also ensuring that **it works as expected in CARM system.**
- Converted data will be the **foundation** of the system processes post go-live.

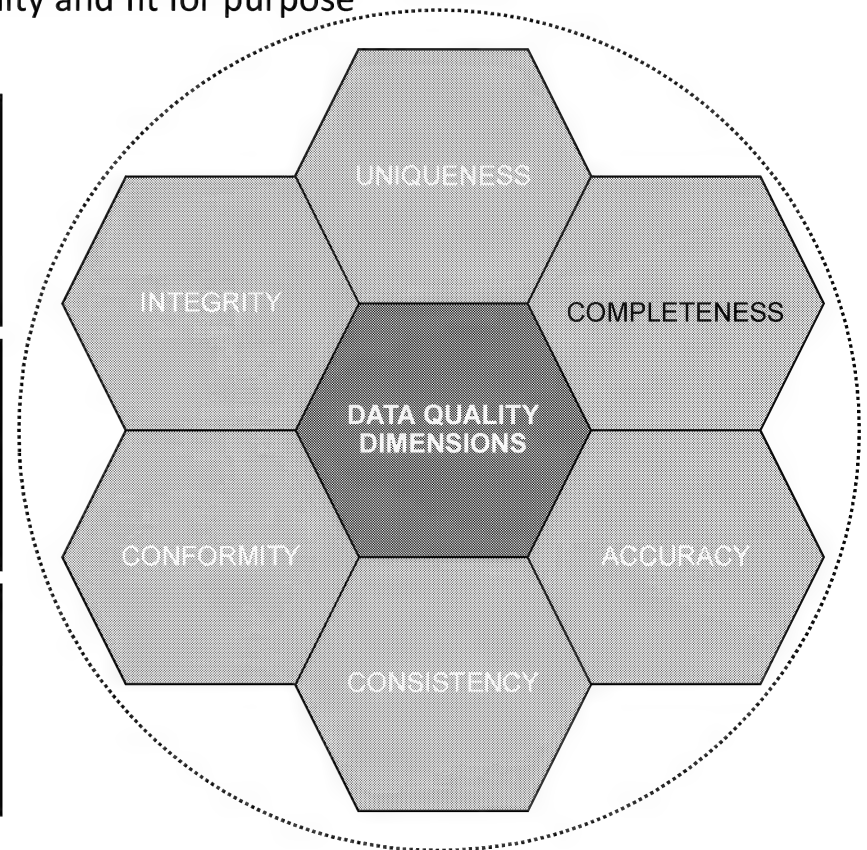
**Clean Data is vital to the successful deployment of the CARM system**

**Data cleansing** consists of the discovery of errors in a data record and the removal or correction of these mistakes.

# Data Cleansing: Data Quality Dimensions

The objective of data cleansing is to produce data that is of high quality and fit for purpose

<b>ACCURACY</b> <ul style="list-style-type: none"> <li>• <b>Validity Check:</b> value is valid and correct</li> <li>• <b>Exactness Check:</b> default values defined by the business</li> </ul>	<b>COMPLETENESS</b> <ul style="list-style-type: none"> <li>• <b>Mandatory Check:</b> if field is not blank</li> </ul>
<b>CONFORMITY</b> <ul style="list-style-type: none"> <li>• <b>Length Check:</b> field size is acceptable</li> <li>• <b>Range Check:</b> number is between a range</li> <li>• <b>Format Check:</b> field must be in a specific format</li> <li>• <b>Type Check:</b> field must be numeric or char or date</li> </ul>	<b>CONSISTENCY</b> <ul style="list-style-type: none"> <li>• <b>Consistency Check:</b> conditional check, i.e. if field 1 is X and field 2 is Y, field 3 should be "No"</li> </ul>
<b>INTEGRITY</b> <ul style="list-style-type: none"> <li>• <b>Value Cross Check:</b> value exists in parent or reference table</li> </ul>	<b>UNIQUENESS</b> <ul style="list-style-type: none"> <li>• <b>Unique Check:</b> field is not duplicated</li> </ul>



## Data Cleansing by CBSA Data Cleansers

While pre-load validations can account for structural issues in the extracted data, e.g. nulls, duplicates, and formatting, it cannot spot issues in the accuracy and correctness of the data.

CBSA business cleansers will be asked to verify things like:

- **Integrity** of data across tables, e.g. Treatment Code in table A matches Code in table B
- **Accuracy** of code values, e.g. Treatment abbreviation
- **Relevance** of code values, e.g. country code for Yugoslavia
- **Validity** of code values, e.g. Range is 1 through 7 but table contains an 8

Note:

Most of the tables for conversion in R2 are high-volume, thus tools from the CBSA Data Quality team will be required to profile, and if feasible, cleanse the high-volume datasets.

Business rules are required and are turned into data quality rules, which are implemented in tools. Cleansing rules are derived from data quality rules and errors discovered in the data.

# Customs Broker BN15 assignment

## Current State

- No BN15
- BN9 from CRA
- Licence Numbers
- ASEC Number

## License Number Assigned

- Broker Licensing
- Not in ARL

- 302 unique Brokers
- 551 unique Licenses
- 61 Brokers have more than 1 license

## ASEC Number Assigned

- Security
- Entered in ARL via CCS

- 292 Unique Customs Brokers
- 346 ASEC numbers
- 52 CB's have more than 1 ASECs

## Entry in CCS/ARL

- Only CB's with ASEC are entered in CCS and ARL for ACROSS

- 345 BN9s
- 372 ASECs
- 433 Brokers, 61 Obs

## R1

- Assign BN15
- BN9 from CRA
- Licence Numbers
- ASEC Number

### Q. How are unique BN15s planned to be assigned

- One per unique license (=551) ->
  - ❖ not all licences are in ARL (example Livingston has 28 unique licenses but only 5 ASECs)
  - ❖ complicates R2 cutover when licensing is National – i.e. 28 Livingston licenses consolidate to 1
- One per unique ASEC (=372 non-obsolete) ->
  - ❖ This is fine in R1 – but has to be communicated to the 61 Brokers that only a subset of their licenses will be assigned a BN15
  - ❖ What happens in R2 for CB's with multiple licenses and multiple ASECs – when licenses are consolidated to one, do ASECs also get consolidated to one? => if yes, what happens to the BN15s assigned to each ASEC...
  - ❖ This will have impacts in R2 since we will have to merge CO's to one CO (1 ASEC = 1 CO) => which in turn has impacts on financial postings linked to each CO
- One per unique BN15 and assign the same BN15 to all ASECs
  - ❖ Should work on MD for R1 as the plan is to store BN15s for brokers in a different area temporarily before R2 conversion (data remodel)
  - ❖ However potential issue on Portal depending on how the vision is for Brokers to interact on the portal – will the portal be used by Brokers per ASEC or per License or at BN9...

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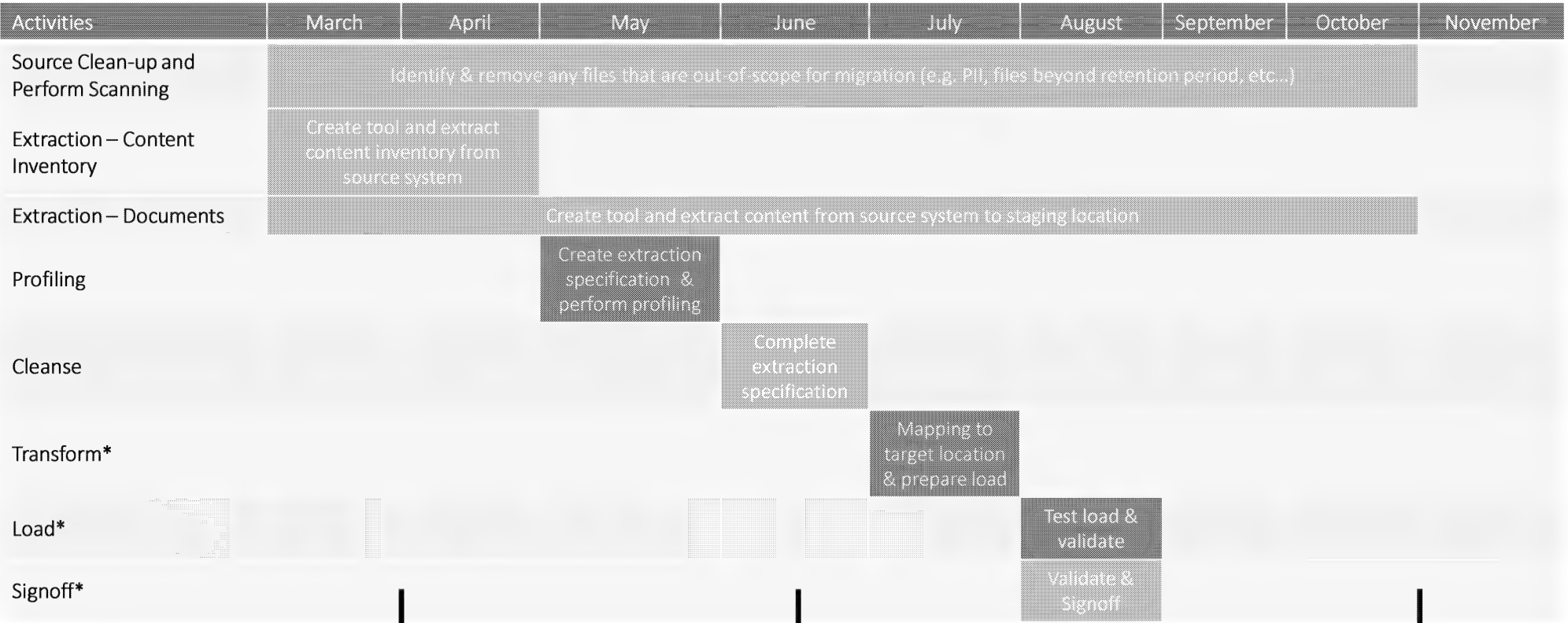
# Unstructured Data Conversion

March 12, 2020

**CARM** | CBSA Assessment and  
Revenue Management

# Unstructured Data Conversion – Timelines\*

Legend:  CBSA Responsibility  CARM Responsibility



\* TBD/Dependent on Structured Data Conversion

April 1<sup>st</sup> – Complete 1<sup>st</sup> content inventory

June 15<sup>th</sup> – Complete extraction specification

November – 1<sup>st</sup> Mock Cut-Over (TBC)

# Unstructured Data Conversion - Roles and Responsibilities

Activity	CARM Consulting Data Conversion Team	CBSA Data Owner/Validator/Cleanser Team	CBSA Data Extraction Team
Source Clean-up and Scanning	C	R, A	I
Extraction – Content Inventory	C	C	R, A
Extraction – Documents	C	C	R, A
Profiling (create extraction specification template)	R, A	C	C
Cleanse (complete extraction specification)	C	R, A	I
Transform (map to SAP objects, prepare load)	R, A	I	C
Load	R, A	I	C
Signoff	C	R, A	I

## Data Conversion Activity Table:

**R – Responsible** Those **who do the work** to achieve the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required.

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## Unstructured Data Conversion – Extraction of Content Inventory

CBSA Data Extract Team to provide an inventory of all the *documents* in the source location, including the following fields:

Field	Example
Node ID	30021676
File Path	Enterprise: Operations and the Regions: 01 Border Operations Directorate: Commercial Operations Division: Commercial Registration: Broker Licensing: Brokers Open: A: A. Hartrodt Canada Ltd: MyDocument123
Name	MyDocument123.docx
Mime Type	(.docx)
File Size (KB)	299 KB
Last Modified Date	03/22/2020 09:22
Creation Date	MM/DD/YYYY HH:MM
Owner	Fraser-Noel, Lindsay

Output of content inventory can be CSV or Excel format.

# Unstructured Data Validation Tasks - Examples

## Data Validation Tasks - Examples

Below are subset of data and sample of issues that have been identified and corrections shown on the right side.

Content Inventory				Prepare Spec Template		
Filename	Filepath	Size	Created On	Object Type	Object ID	Document Type
Doc-11029.pdf	\\securefs\extra\ct1\12109\	13452	Sep 22 1997 12:40:29:783AM		12109	
Doc-1103.doc	\\securefs\carrier_enrol\	4232	Sep 22 1997 12:51:21:950AM	Carrier Enrolment		Supporting document
Doc-11021.pdf	\\securefs\carrier_enrol\74564\	34232	Sep 22 1997 12:52:52:010AM	Carrier Enrolment	74564	Supporting document
Doc-11032.tiff	\\securefs\carrier_enrol\20564\	0	Sep 22 1997 12:52:54:483AM	Carrier Enrolment	20564	Supporting document
Doc-11034	\\securefs\importer_enrol\6337\	90456	Sep 22 1997 12:52:59:260AM	Importer Enrolment	6337	Supporting document

Doc-11029.pdf	\\securefs\extra\ct1\12109\	13452	Sep 22 1997 12:40:29:783AM		12109	
				<b>Specify object type and document type</b>		Update with the correct object type (CARM entity type) and document type.
Doc-1103.doc	\\securefs\carrier_enrol\	4232	Sep 22 1997 12:51:21:950AM	Carrier Enrolment		Supporting document
				<b>Specify Object ID</b>		Update with the unique object identifier such as the Program Account ID
Doc-11032.tiff	\\securefs\carrier_enrol\20564\	0	Sep 22 1997 12:52:54:483AM	Carrier Enrolment	20564	Supporting document
				<b>Validate zero byte files</b>		When a file size is shown as zero bytes, check and confirm if it is a valid file to be uploaded
Doc-11034	\\securefs\importer_enrol\6337\	90456	Sep 22 1997 12:52:59:260AM	Importer Enrolment	6337	Supporting document
				<b>Provide right file extension</b>		Document should have proper file extension

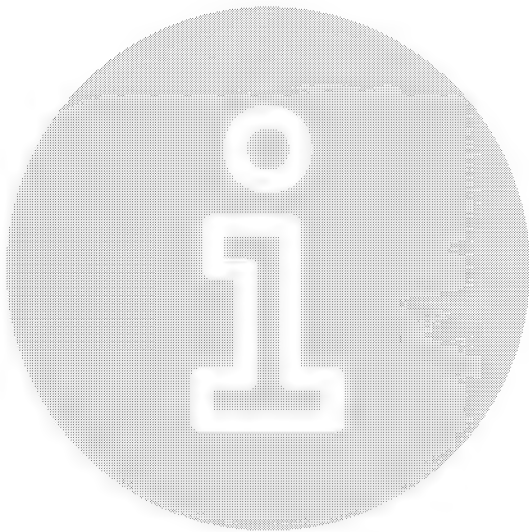
## R2 Functional Specification Links in Apollo

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### Links in Apollo:

- C140 - Broker Licensing Program Enrollment Master Data Conversion.docx
- C205 - [U] Broker Licensing Program Enrollment - Documents Migration.docx

## R2 CARM Consulting Data Conversion Team Contacts



### Contacts

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Conversion Lead - Mohammed Zafar Ahmed  
Email: [MohammedZafar.Ahmed@cbsa-asfc.gc.ca](mailto:MohammedZafar.Ahmed@cbsa-asfc.gc.ca)

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Conversion Lead (Unstructured) – Amil Jasarbasic  
Email: [Amil.Jasarbasic@cbsa-asfc.gc.ca](mailto:Amil.Jasarbasic@cbsa-asfc.gc.ca)

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CARM R2 Project Manager – Gopi Ramachandran  
Email: [Gopi.Ramachandran@cbsa-asfc.gc.ca](mailto:Gopi.Ramachandran@cbsa-asfc.gc.ca)

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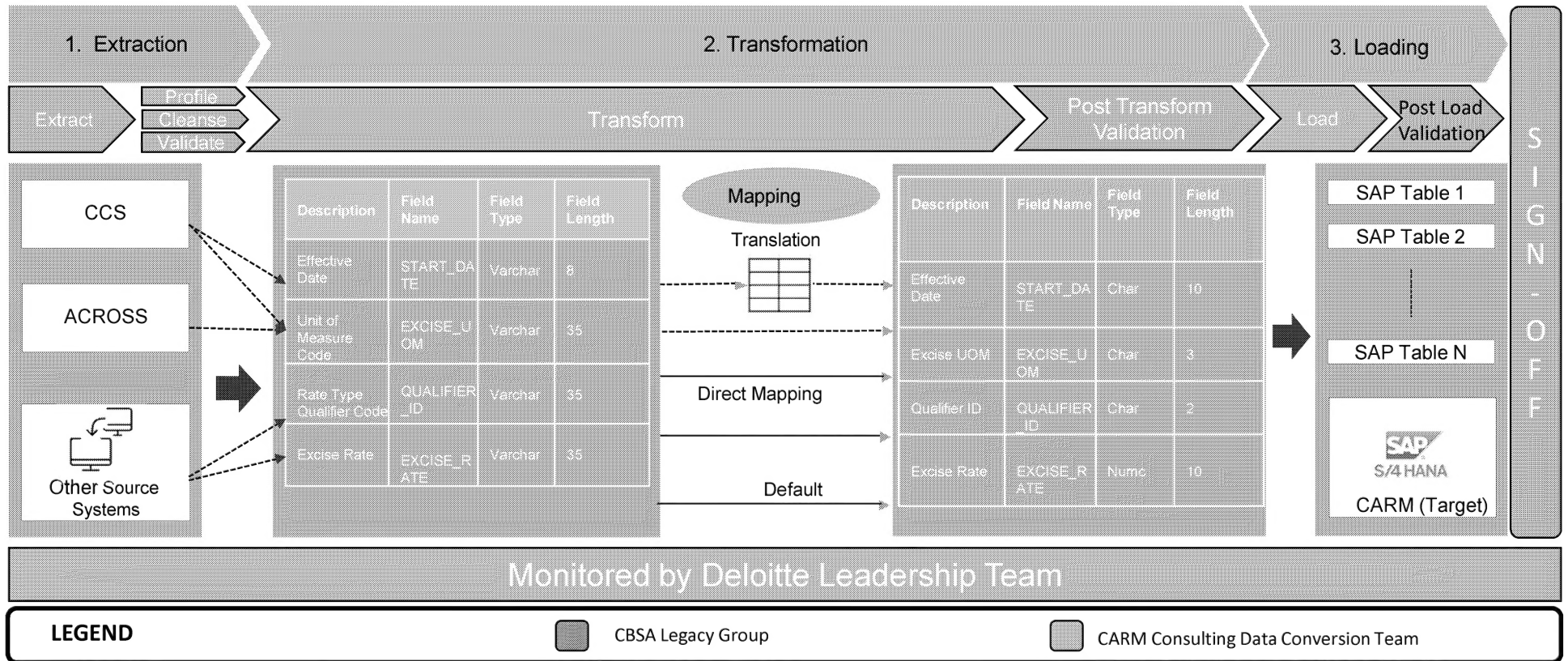
## Other Items

- ① Weekly health check up meeting will be set up. An invite will be sent in the coming weeks.
- ② Identification of CBSA Data cleansers/validators, Data Owners and one who will do the Sign off.
- ③ Any risks to delivery must be communicated or shared in a timely way with CBSA management and the CARM Consulting Conversion Team.

**Questions?**

# Appendix

## R2 Data Conversion - Process Overview



# Critical Success Factors

## Process Quality

Extracted data from Legacy systems identified completely and correctly. Valid extracted data properly cleansed. Valid extracted data are converted or transformed accurately as per the data mapping rules. Data converted into new data formats in CARM functions as expected, e.g. NUM to CHAR.

## Scalability

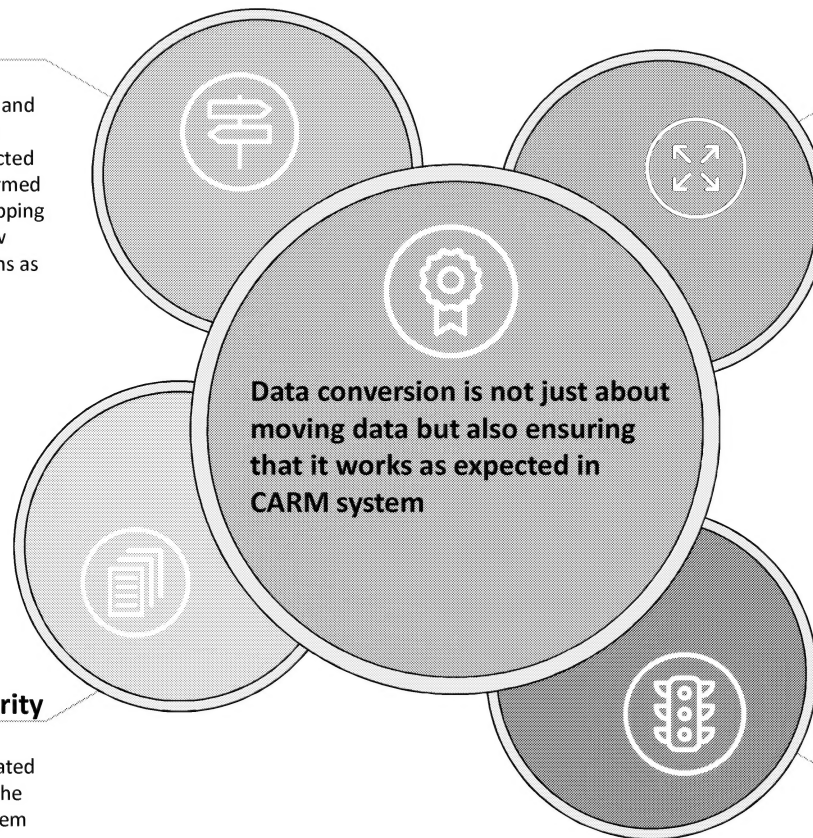
Converted data can be deployed successfully, to meet new requirements implemented in CARM system, e.g. Publish Tariff Book via SAP. CBSA can carry out key tasks in CARM apps, per business requirements, e.g. Maintain Tariff Treatments.

## Converted Data Integrity

CBSA can generate reports as expected; using the data migrated to CARM. CBSA can generate the same results in the legacy system and in CARM.

## Reconciliation

Successfully reconciled valid data extracted as against what is in the Legacy system. Successfully reconciled valid data from Legacy system as against the loaded data into CARM SAP S/4 HANA.



# Objectives

The objectives of the Data Conversion Pre-Kickoff Meeting for Release 2 are the following:

**1 » Communicate R2 Data Conversion Scope and Expected Commitment**

CBSA Managers/Team Leads are asked to commit resources (people, tools and time) to the R2 CARM data conversion activities and per ISTB and CARM schedules.

CBSA Managers/Team Leads are asked to inform all CBSA resources involved in the R2 CARM data conversion activities of the scope and the nature of the conversion activities, and ask them to track progress against the R2 conversion schedule.

**2 » Explain R2 Data Workloads and Activities**

Workloads and activities should be communicated by CBSA Managers/Team leads to their team members prior to the next Kickoff meetings.

CBSA Managers/Team leaders are asked to prepare their team members for the upcoming tasks, which will run until April 2021.

**3 » Confirm R2 Data Conversion Accountability and Responsibilities**

Ownership of the R2 Conversion roles and responsibilities, between CBSA and the Consulting Team, should be clearly communicated by the CBSA Managers/Team Leads to all CBSA resources who will be involved in the R2 CARM data conversion activities, with delegation and activities performed accordingly. Any risk to delivery must be communicated in a timely manner.